AO 10
Rev. 1/2018

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Sorokin, Leo T.	District Court, Massachusetts	11/19/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
District Judge - Active	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2018 **to** 12/31/2018

7. Chambers or Office Address

U.S. District Court
One Courthouse Way
Boston, MA 02210
Suite 6130

IMPORTANT NOTES: ***The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.***

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Sorokin, Leo T.	11/19/2019

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
2.			
3.			
4.			

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE
1.	2018	Self-employed - psychologist
2.		
3.		
4.		

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	NYU Law School Civil Jury Project	November	New York City, NY	Attending Program About Civil Juries	Transportation, food and lodging
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Rental/Vacation Property Massachusetts (2001, 273,100)	B	Rent	N	R					
2. Bank of America Accounts	A	Interest	J	T					
3. IRA #1									
4. -Fidelity Contrafund	C	Distribution	K	T					
5. -Fidelity Pacific Basin	B	Distribution	K	T					
6. -Davis NY Venture Fund C	D	Dividend	K	T					See Note
7. -Fidelity Gov't Cash Reserves	A	Dividend	J	T	Buy	04/05/18	J		See Note
8. IRA #2									
9. -Davis NY Venture Fund C									See Note
10. -Wells Fargo Cash	A	Dividend			Sold	04/05/18	J	A	See Note
11. IRA #3									
12. -Amazon		None	L	T					
13. -Wells Fargo Cash Account	A	Int./Div.			Sold	11/11/18	J	A	See Note
14. -Wells Fargo FDIC Insured Deposits	A	Int./Div.	J	T	Buy	11/11/18	J		See Note
15. -Allianz FDS Small Cap	B	Dividend	J	T					
16. -Allianz Mid Cap Fund	C	Dividend	K	T					
17. -PIMCO Total Return	B	Dividend	K	T					See Note

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. Brokerage Acct#1									
19. -Wells Fargo Money Market Fund	A	Interest			Sold	11/11/18	J	A	See Note
20. -Fidelity Government Money Market	A	Interest	J	T	Buy	11/08/18	J		See Note
21. -Vanguard Total Stock Market ETF	A	Dividend	J	T					
22. -Bristol Myers Squibb	A	Dividend	J	T	Sold (part)	01/12/18	J	C	
23. -Wisdomtree Investments	A	Dividend	J	T					
24. -Healthcare Realty Trust, Inc.	B	Dividend	K	T	Sold (part)	01/12/18	J	D	
25.					Sold (part)	08/07/18	J	A	
26. -Berkshire Hawthaway Series B		None	K	T					
27. -Saul Centers	A	Dividend	J	T	Redeemed (part)	06/23/18	J	A	
28. -Alibaba		None	J	T					
29. -Apple	B	Dividend	L	T					
30. -Sector Spdr Tech Select Sector	B	Dividend	L	T					
31. -Stratasys LTD Sys					Sold	08/07/18	J	A	
32. -3D SYSCorp					Sold	08/07/18	J	A	
33. IRA #4									
34. -Vanguard 500 Index Fund Adm	B	Dividend	L	T	Buy (add'l)	04/27/18	J		

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
35. -Vanguard Intermediate Term Investment Grade Fund	A	Dividend	K	T	Buy (add'l)	04/27/18	J		
36. -Vanguard U.S. Value Fund	C	Dividend	K	T	Buy (add'l)	04/27/18	J		
37. - Vanguard Emerging Markets Stock Index Adm	B	Dividend	K	T	Buy (add'l)	04/27/18	J		
38.					Buy (add'l)	1/19/18	J		
39.					Buy (add'l)	01/29/18	J		
40.					Buy (add'l)	02/16/18	J		
41.					Buy (add'l)	03/18/18	J		
42.					Buy (add'l)	04/16/18	J		
43.					Buy (add'l)	05/03/18	J		
44.					Buy (add'l)	05/15/18	J		
45.					Buy (add'l)	05/25/18	J		
46.					Buy (add'l)	06/19/18	J		
47.					Buy (add'l)	06/21/18	J		
48.					Buy (add'l)	07/09/18	J		
49.					Buy (add'l)	07/27/18	J		
50.					Buy (add'l)	08/24/18	J		
51.					Buy (add'l)	09/18/18	J		

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52.					Buy (add'l)	10/31/18	J		
53.					Buy (add'l)	11/26/18	J		
54.					Buy (add'l)	12/03/18	J		
55. Brokerage Acct#2									
56. -Vanguard U.S. Value Fund	B	Dividend	K	T					
57. -Vanguard Total International Stock Index	A	Dividend	J	T					
58. -Vanguard Total Stock Market Index	A	Dividend	J	T					
59. -Vanguard 500 Index Fund	A	Dividend	J	T					
60. Brokerage Acct#4									
61. -American Century Income and Growth Fund	B	Dividend	K	T					
62. IRA #5									
63. -American Century Equity Income	A	Dividend	K	T					
64. -American Century Prime Money Market	A	Interest	K	T					
65. -American Century Small Cap Value Fund	B	Dividend	J	T					
66. Brokerage Acct#5 (Y)									See Note
67. -American Century Equity Income Fund (Y)									
68. Brokerage Acct#7 (Y)									See Note

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69. -American Century All Cap Growth Fund (Y)									
70. Limited Partnership Wolf Paca I	E	Int./Div.	M	U					
71. Limited Partnership Joppa East	A	Dividend	J	U					
72. OC, LLC		None	M	T					
73. Brokerage Account 11 (Y)									See Note
74. -Vanguard 500 Index Fund (Y)									
75. IRA Account 13A (Y)									See Note
76. -Wells Fargo Bank Deposit Sweep Option (Y)									
77. -Matthews Pacific Tiger (Y)									
78. -Sector Spider Technology Select (Y)									
79. Brokerage Account 13B (Y)									See Note
80. -Wells Fargo Bank Deposit Sweep Option (Y)									
81. -Sterling Bank Corp (Y)									
82. -Vanguard Total Stock Market ETF (Y)									
83. IRA Account 14A									
84. -Wells Fargo Bank Deposit Sweep Option	A	Interest			Sold	08/24/18	J	A	See Note
85. -Fidelity Government Money Market	A	Interest	J	T	Buy	08/24/18	J		

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86. -Matthews Pacific Tiger	A	Dividend	K	T					
87. -Sector Spider Technology Select	A	Dividend	J	T					
88. -Square Inc		None	J	T	Buy	10/12/18	J		
89. Brokerage Account 14B									
90. -Wells Fargo Bank Deposit Sweep Option	A	Interest			Sold	07/10/18	J	A	See Note
91. -Fidelity Government Money Market	A	Interest	J	T	Buy	07/10/18	J		See Note
92. -Sterling Bank Corp	A	Dividend	J	T					
93. -Canopy Growth		None	J	T	Buy	10/19/18	J		
94. Trust #4									
95. -Fidelity Government Money Market	A	Int./Div.	J	T					
96. -Williams Companies	A	Int./Div.	J	T					
97. - Fund Royce Opportunity Fund Investment Class N/L	B	Int./Div.	K	T					
98. -Fund Oppenheimer DevMkts Fund	A	Int./Div.	J	T					
99. - Kinder Morgan	A	Int./Div.	J	T					
100. -Hartford International Value Fund	A	Int./Div.	J	T					
101. -Berkshire Hathaway B		None	K	T					
102. -Crown Castle	B	Int./Div.	K	T					

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103. - Stock Alleghany Corp		None	J	T					
104. -Flow 2006 LLC	F	Int./Div.	M	W					
105. -VSECU Bank Account	A	Int./Div.	L	T					
106. -Fund Hartford Capital Appreciation Fund Class A	C	Int./Div.	K	T					
107. -Liberty Broadband Corp Series A (LBRDA)		None	J	T					
108. -Liberty Broadband Corp Series C (LBRDK)		None	J	T					
109. -Liberty Media Corp Com A (LSXMA)		None	J	T					
110. -Liberty Media Corp Delaware Com C (LSXMK)		None	J	T					
111. -Liberty Media Corp Delaware Com A (BATRA)		None	J	T					
112. -Liberty Media Corp Delaware Com C Media (FWONK)		None	J	T					
113. -Liberty Media Corp Delaware Com A Media (FWONA)		None	J	T					
114. -Liberty Media Corp Delaware Com C (BATRK)		None	J	T					
115. -Fund Third Avenue Focused Credit Fund Investor Class	A	Int./Div.	J	T					
116. -Longleaf Small-cap Fund	C	Int./Div.	K	T					
117. -Putnam Capital Spectrum	A	Int./Div.	J	T					
118. -Netflix		None	K	T					
119. -Canopy Growth		None	J	T	Buy	01/04/18	J		

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120. Trust #5									
121. -Wells Fargo Bank Deposit Sweep	A	Int./Div.			Sold	04/16/18	L	A	See Note
122. -Fidelity Government Money Market	A	Interest	K	T	Buy	04/16/18	L		See Note
123. -Stock Sector Spdr TR Tech Select Sector XLK	A	Int./Div.	K	T					
124. -Alibaba Group		None	J	T					
125. -Verizon Communications	A	Int./Div.	J	T					
126. -Gunpowder W Corp.		None	J	W					
127. -Joppa East Limited Partnership	A	Int./Div.	J	W					
128. -Mayfield W, Inc.	A	Int./Div.	J	W					
129. -MHW, LLC	D	Distribution	L	W					
130. -Exploration Capital 2005	E	Distribution	L	W					
131. -Wolf Realty Corp.		None	J	W					
132. -Saul Centers Bond	A	Int./Div.	J	T					
133. -VSECU Bank Account	A	Int./Div.	J	T					
134. -Merck	A	Int./Div.	K	T					
135. -GSV Capital		None	J	T					
136. -Loan to Trust #4		None	L	W					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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Name of Person Reporting	Date of Report
Sorokin, Leo T.	11/19/2019

VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
137. -Alphabet		None	J	T	Buy	04/25/18	J		
138. -Home Depot	A	Int./Div.	J	T	Buy	05/16/18	J		
139. -Salesforce Com		None	J	T	Buy	10/10/18	J		
140. IRA Account 20									
141. -Wells Fargo Money Market	A	Int./Div.			Sold	11/08/18	J	A	See Note
142. -FDIC Insured Deposit	A	Int./Div.	J	T	Buy	11/08/18	J		See Note
143. -Tesla Motors, Inc.		None			Sold	10/02/18	K	D	
144. -Chipotle		None	J	T					
145. -Illumina		None	J	T					
146. -Netflix		None	K	T					
147. -Synaptics		None	J	T					
148. -Square Inc. - A		None	J	T					
149. -Amazon		None	K	T	Buy	10/11/18	K		
150. IRA BA 17									
151. -AMG Managers Fair Pointe Mid Cap fund	A	Dividend	J	T					
152. -American Mutual Fund Cl F2	A	Dividend	J	T					
153. -Brown Capital Mgt Small C. Inv.	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
Sorokin, Leo T.	11/19/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
154. -Cohen & Steers Realty Shares	A	Dividend			Sold	07/19/18	J	A	
155. -Fidelity 500 Index FD Investor Class	A	Dividend	J	T					
156. -Harbor International Institutional		None			Sold	10/12/18	J	A	
157. -Aberdeen Total Return Bond Fund Cl I	A	Dividend	J	T					
158. -Fidelity Floating Rate High Income	A	Dividend			Sold	07/09/18	J	A	
159. -Fidelity Total Bond	A	Dividend	J	T					
160. -PIMCO Total REturn Instl	A	Dividend	J	T					
161. -Osterweis Strategic Income Fund	A	Dividend	J	T					
162. -Fidelity Cash Reserves	A	Interest	J	T					
163. -Fidelity Small Cap Index Investor	A	Distribution	J	T					
164. - Costoco Wholesale	A	Dividend	K	T					
165. IRA 18									
166. -Schwab Adv Cash Reserves	A	Dividend	L	T					
167. -Plum Crk Tmbrlnd Bonds due 3/15/21	A	Interest	J	T					
168. -Abbot Labs	A	Interest	J	T					
169. -Acuity Brands	A	Dividend	J	T					
170. -CISCO Systems	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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Name of Person Reporting	Date of Report
Sorokin, Leo T.	11/19/2019

VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
171. -General Electric Co.	A	Dividend	J	T					
172. -International Business Machines	A	Dividend	K	T					
173. -PPG Industries	A	Dividend	J	T					
174. -United Parcel Service Class B	A	Dividend	J	T					
175. -Weyerrhaeuser Co. Bond due 02/1/18	A	Dividend			Redeemed	02/01/18	J	A	
176. -Weyerhaeuser Co REIT (fromerly Plum Creek Timber Co. REIT)	A	Interest	J	T					
177. -Marathon Value Portfolio	A	Dividend	K	T					
178. -Vanguard Total Stock Market Index Fund	A	Dividend	J	T					
179. -Ishares Exp Technology ETF	A	Dividend	K	T					
180. -Technology Select Sector Spdr ETF	A	Dividend	K	T					
181. -Fuel Cell Energy		None	J	T	Buy	04/23/18	J		
182. Utah Ed Savings Age Based Aggressive Global Fund	B	Dividend	L	T	Buy (add'l)	1/3/18	J		
183.					Buy (add'l)	02/05/18	J		
184.					Buy (add'l)	03/05/18	J		
185.					Buy (add'l)	04/03/18	J		
186.					Buy (add'l)	05/03/18	J		
187.					Buy (add'l)	06/04/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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VII. INVESTMENTS and TRUSTS -- *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
188.					Buy (add'l)	07/03/18	J		
189.					Buy (add'l)	08/03/18	J		
190.					Buy (add'l)	09/04/18	J		
191.					Buy (add'l)	10/03/18	J		
192.					Buy (add'l)	11/05/18	J		
193.					Buy (add'l)	12/03/18	J		
194. USAA Bank Accounts	A	Int./Div.	J	T					
195. BA Account 19									
196. -Schwab Cash Account	A	Int./Div.	J	T					
197.									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Notes Regarding Part VII Investments and Trusts
FOR 2018

Line 6 & 9 - This holding was transferred from IRA #2 when IRA#2 was closed and consolidated with IRA #1. No sale or purchase occurred, merely a transfer from brokerage firm to another on 4/5/18

Lines 7 & 10 - This holding was sold when IRA#2 was closed and consolidated with IRA #1. This fund was sold and the proceeds were used to purchase the similar fund listed on Line 7.

Lines 13-14 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Line 17 This fund now appears with a different name on the brokerage statement. There has been no purcahse or sale etc.

Lines 19-20 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Lines 66-67 (Brokerage Account#5), Lines 68-69 (Brokerage Account #7) Lines 73-74 (Brokerage Account 11), Lines 75-82 (IRA Account 13A and Brokerage Account 13B)are held by a person no longer living in my household and no longer financially dependent.

Lines 84-85 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Lines 90-91 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Lines 121-122 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Lines 141-142 One holding liquidated with funds used to purchase the other asset as part of moving this account to another brokerage firm.

Name of Person Reporting	Date of Report
Sorokin, Leo T.	11/19/2019

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Leo T. Sorokin**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544