

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Saporito, Joseph F.	2. Court or Organization United States District Court Middle District of Pennsylvania	3. Date of Report 05/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Full Time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Max Rosenn United States Courthouse 197 South Main Street, Suite 161 Wilkes-Barre, PA 18702		
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. Director/Secretary	Earthly Angels Autism Board
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. 1985	Luzerne County, PA Defined Benefit Pension Plan
2. 2015	Saporito, Saporito & Falcone Payment of book value of interest in former law firm and sharing in future contingent fees reflecting value of services rendered.
3.	

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Name of Person Reporting

Saporito, Joseph F.

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Saporito, Falcone & Watt (contingent fee payments under Agreement with predecessor Saporito, Saporito & Falcone)	\$9,955.25
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Luzerne Intermediate Unit #18 - Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. New York Intellectual Property Law Association	03/22/19-3/23/19	New York, New York	NYIPLA Annual Dinner in Honor of the Federal Judiciary	travel, hotel accommodations, and meals
2.				
3.				
4.				
5.				

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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.	Discover	Credit Card	J
2.	First National Community Bank	Mortgage on Rental Property #1, Pittston, PA (Pt. VII line1)	K
3.	First National Community Bank	Line of Credit on Rental Property #1, Pittston, PA (Pt. VII line 1)	J
4.			
5.			

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Rental Property #1, Pittston, PA \$105,000	D	Rent	M	S					
2. Boeing Co.	A	Dividend	L	T					
3. Dreyfus Worldwide Dollar Money Market	A	Interest	J	T					
4. Dreyfus Active MidCap Cl A	D	Dividend	M	T					
5. First National Community Bank Stock	A	Dividend	K	T					
6. Brokerage Acct # 1 (H)									
7. -AFLAC, Inc.	A	Dividend	J	T					
8. -Bank of America Stock	A	Dividend	L	T					
9. -Truist Financial Corp. (formerly B B & T Corp.)	A	Dividend	J	T					
10. -Black Rock PA Strat Muni	A	Dividend	J	T					
11. -Cash and Bank Sweep Deposit Account Charles Schwab & Co., Inc.	C	Int./Div.	K	T					
12. -Equity Commonwealth		None	J	T					
13. -Gabelli Conv. Incm Sec.	A	Dividend	J	T					
14. -GE Stock	A	Dividend	J	T					
15. -Nuveen Qual PFD Inc.	A	Dividend	J	T					
16. -Startek Inc. Stock		None	J	T					
17. -Unilever PLC DDR	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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18. -Waste Management Stock	A	Dividend	K	T					
19. Wells Fargo Stock	A	Dividend	K	T					
20. Janus Enterprise Fund D	A	Dividend	J	T					
21. Lincoln Financial Group	A	Interest	K	T					
22. Brokerage Acct #2 (H) M.L. Joint IRA									
23. -American Income Fund	B	Dividend	K	T					
24. -American Capital Income Builder CL C	B	Dividend	K	T					
25. -Bank of America NA RASP	A	Interest	J	T					
26. -Cash and Sweep Deposit Account through Bank of America NA	A	Int./Div.	J	T					
27. -Community Bank Systems Stock	A	Dividend	J	T					
28. -Community Bank Sys Inc. Del	A	Dividend	J	T					
29. -Walt Disney Co. Stock	A	Dividend	K	T					
30. -Nuveen Mortgage Oprtnity Term Fund	A	Interest			Sold	10/11/19	K		
31. State Farm Life Insurance Co. Whole Life Policy	A	Int./Div.	J	T					
32. Mony	A	Int./Div.	J	T					
33. First National Community Bank (Account)	A	Interest	J	T					
34. Wells Fargo (Accounts)	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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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35. AXA Equitable (Variable) AXA Guaranteed Interest Account	A	Interest	J	T					
36. Vanguard 500 Index Fund Admiral Shares	B	Dividend	L	T					
37. State Farm Life Insurance Co. Whole Life Policy	A	Int./Div.	J	T					
38. Wells Fargo (Accounts)	A	Interest	J	T					
39. Lincoln National life Insurance Co. Universal Life Policy	A	Interest	J	T					
40. First National Community Bank (Account)	A	Interest	K	T					
41. Landmark Community Bank (Account)	A	Interest	K	T					
42. Brokerage Acct. # 3 (H)									
43. -Aflac	A	Dividend	J	T					
44. -Alliance Bernstein IN	A	Dividend	J	T					
45. -Truist Financial Corp.(formerly B B & T Corp)	A	Dividend	J	T					
46. -Cash and Bank Sweep Deposit Account Charles Schwab & Co., Inc.	D	Int./Div.	L	T					
47. -Conagra Foods Stock	A	Dividend	J	T					
48. -Conduent Incorporated		None	J	T					
49. -DXC Technology Company	A	Dividend	J	T					
50. -Equity Commonwealth		None	J	T					
51. -GE Stock	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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52. -Harsco Corp. Stock	A	Dividend	J	T					
53. -HP Inc	A	Dividend	J	T					
54. -Hewlett Packard Enterprise	A	Dividend	J	T					
55. -Hormel Foods Corp.	A	Dividend	K	T					
56. -Lamb Weston Holdings	A	Dividend	J	T					
57. -Lockhead Martin Corp. Stock	B	Dividend	K	T					
58. -Micro Focus Internation F	A	Dividend	J	T	Sold (part)	05/01/19	J	A	
59. -Northrop Grumman Co, Stock	A	Dividend	L	T					
60. -Nuveen Pennsylvania INVE Stock	A	Dividend	J	T					
61. -Nvidia Corp. Stock	A	Dividend	K	T					
62. -PPL Corp Stock	A	Dividend	J	T					
63. -SYSCO Corp. Stock	A	Dividend	J	T					
64. -TEVA Pharm. Inds. Ltd. F	A	Dividend	J	T					
65. -Unilever PLC F	A	Dividend	J	T					
66. -Verizon Communication Stock	A	Dividend	J	T					
67. -Visa Inc. CL A	A	Dividend	L	T					
68. -Waste Management Stock	A	Dividend	K	T					

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69. -Xerox Corp. Stock	A	Dividend	J	T					
70. Brokerage Acct #4 (H)									
71. -Blackstone/GSO STRAT Credit FD	A	Dividend	J	T					
72. -Cash and Sweep Deposit Account through Morgan Stanley Private Bank NA	A	Interest	K	T					
73. -Doubleline Income Solutions FD	A	Dividend	J	T					
74. -John Hancock Hedged EQ & Inc. FD	A	Dividend	J	T					
75. -Legg Mason WA Core Bond C	B	Interest	L	T					
76. -Nuveen Short Duratn CR OPP FD	A	Dividend	J	T					
77. -Blackrock Global Allocation C	A	Dividend	J	T					
78. -First Eagle Overseas C	A	Dividend	K	T					
79. -First Eagle Global C	A	Dividend	L	T					
80. -Franklin Rising Dividends C	A	Dividend	J	T					
81. -JP Morgan Equity Income C	A	Dividend	L	T					
82. -PIMCO ALL Asset ALL Authority C	A	Dividend	J	T					
83. -PIMCO Income C	A	Dividend	J	T					
84. -Prudential High Yield C	A	Dividend	J	T					
85. -Transamerica High Yield Bond C	A	Dividend	J	T					

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86. -Transamerica Sht Term Bond C	A	Dividend	J	T					
87. -Western Asset Core Plus BD C	A	Dividend	K	T					
88. -Unit Claymore Guggenheim Intern Investment GRD Corp 19	A	Dividend			Sold	11/12/19	J	A	
89. -Unit INVESCO S & P Dividend Sustainability 2013-14	A	Dividend	J	T					
90. -Unit Guggenheim Closed-End Infrastructure & MLP 15	A	Dividend	J	T					
91. -Unit First Trust WaterUtility Infrastructure Select 31	A	Dividend	J	T					
92. State Farm Life Ins. Co. Whole Life Policy	A	Int./Div.	J	T					
93. Dreyfus Active Midcap CLA	A	Dividend	K	T					
94. PNC Bank (Accounts)	A	Interest	J	T					
95. TYGS Realty Co. (H)									
96. - Rental Property No.1, Pittston, PA \$113,500	D	Rent	K	S					
97. - Rental Property No. 2, Pittston, PA \$71,100	C	Rent	K	S					
98. - Rental Property No. 3, Pittston, PA \$152,000	C	Rent	K	S					
99. -Rental Property No. 4, Pittston PA \$256,000	D	Rent	L	S					
100. -Rental Property No. 5, Pittston, PA \$300,000	D	Rent	L	S					
101. -Fidelity Deposit & Discount Bank (Account)		None	J	T					
102. -First National Community Bank (Account)	A	Interest	J	T					

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103. -Vanguard 500 Index Fund Admiral Shares	A	Dividend	J	T					
104. McHugh Brothers Record Storage Company, Inc.		None	J	U					
105. Falcone Beverage Distributors, Inc.		None	J	U					
106. Unit Guggenheim Dow 10 Series 34	A	Dividend			Sold	10/04/19	K	C	
107. I Shares Core S & P 500	A	Dividend	J	T					
108. Perspecta Inc	A	Dividend	J	T					
109. American Airls Group		None			Buy	01/24/19	J		
110.					Sold	03/12/19	J	A	
111. WABTEC		None			Buy	02/26/19	J		
112.					Sold	02/26/19	J	A	
113. Twilio Inc A		None	J	T	Buy	01/11/19	J		
114. Hawaiian Holdings		None	J	T	Buy	01/23/19	J		
115. Nivdia Corp.	A	Dividend	J	T	Buy	01/23/19	J		
116. HillRom Holdings	A	Dividend	J	T	Buy	03/25/19	J		
117. Wabtec	A	Dividend			Buy	02/26/19	J		
118.					Sold	02/26/19	J	A	
119. Energy Tfr Oprtng	A	Dividend	J	T	Buy	11/21/19	J		

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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. CD-Peoples	E	Interest	K	T	Buy	10/30/19	K		
121. Unit Guggen Dow 10 Series 39	A	Dividend	K	T	Buy	10/15/19	K		
122. StitchFix Inc.		None	J	T	Buy	02/20/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Name of Person Reporting

Saporito, Joseph F.

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

II. Agreements. Item No 2, III. Non-Investment Income. Items #1, Source is Saporito, Falcone & Watt, the successor firm to Saporito, Saporito & Falcone.

VII. Investments and Trusts. Items 1, 96-100, Column A. I am unaware if the values of the real estate listed in Section VII at lines 1, 103-107, Column A. They are assessed at less than 100% of their actual current values. No appraisals have been completed, therefore, I have relied upon their respective assessed values.

VII. Investments and Trusts. Item Nos. 11 and 46. The cash and bank sweep desposit accounts are maintained by Charles Schwab & Co., Inc. affilifated FDIC insured banks.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Saporito, Joseph F.

Date of Report

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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/ Joseph F. Saporito**

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