

FINANCIAL DISCLOSURE REPORT
FOR NOMINEES

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) Cerccone, David S.		2. Court or Organization U.S. District Court-Western District of Pennsylvania		3. Date of Report 3/22/2002	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Nominee)		5. ReportType (check appropriate type) ☒ Nomination, Date 3/21/2002 ☐ Initial ☐ Annual ☐ Final		6. Reporting Period 1/1/2001 to 3/1/2002	
7. Chambers or Office Address 702 City-County Building Pittsburgh, PA 15219		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____			

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1	Director	Boys and Girls Club of Western Pennsylvania
2	Visitor	Graduate School of Public and International Affairs, University of Pittsburgh
3	Custodian	Account #1 Under Pennsylvania Uniform Gift to Minors Act

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☐

NONE (No reportable agreements.)

1	PA State Employees' Retirement System-would be eligible to receive pension benefits including monthly payments for life and a lump sum payment.
2	Administrative Office of PA Courts-would be eligible to receive health care benefits for life.
3	

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

DATE

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)

☐

NONE (No reportable non-investment income.)

1	2000	Administrative Office of PA Courts-judge's salary	\$ 113,789.00
2	2000	University of Pittsburgh-teaching salary	\$ 12,700.00
3	2001	Administrative Office of PA Courts-judge's salary	\$ 116,117.00
4	2001	University of Pittsburgh-teaching salary	\$ 13,100.00
5	2001	University of Pittsburgh-royalties	\$ 660.00

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Cercone, David S.	3/22/2002

IV. REIMBURSEMENTS – transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE	DESCRIPTION
☐ NONE (No such reportable reimbursements.)	
1	
2	Exempt
3	
4	
5	
6	
7	

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE	DESCRIPTION	VALUE
☐ NONE (No such reportable gifts.)		
1		\$
2	Exempt	
3		\$
4		\$
		\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR	DESCRIPTION	VALUE CODE*
☒ NONE (No reportable liabilities.)		
1		
2		
3		
4		
5		
6		

*Value Codes: 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=\$50,000,001 or more.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

Cerccone, David S.

3/22/2002

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place (X) after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(3)	(4)	(1)	If not exempt from disclosure			
	Amount Code1 (A-H)	Type (e.g. div. rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets,									
1 AIM Constellation Mutual Fund		None	J	T					
2 Delaware Tax Free PA Mutual Fund	B	div.	K	T					
3 Davis NY Venture Mutual Fund	A	div.	K	T					
4 Delaware Growth and Income Mutual Fund	A	div.	J	T					
5 MFS Research Mutual Fund-A		None	J	T					
6 FT Target 15 Nasdaq Unit Trust		None			Exempt				
7 Laser Vision Common Stock		None	J	T					
8 Custody for dependant child Waste Mgmt Common Stock A	A	div.	J	T					
9 Custody for dependant child Evergreen Money Market A	A	div.	J	T					
10 Custody for dependant child Duquesne Cap Pref. Stock B	B	div.	J	T					
11 Custody for dependant child Hartford Cap II Pref. Stock A	A	div.			Exempt				
12 Custody for dependant child Evergreen Money Market A	A	div.	J	T					
13 Mellon Bank Account 1#	A	int.	L	T					
14 Mellon Bank Account 2#	A	int.	J	T					
15 Mellon Bank Account 3#	A	int.	J	T					
16 U.S. Savings Bonds		None	J	T					
17 PA State Employees' Retirement Account		None	0	T					

1	Income/Gain Codes	A=\$1,000 or less (See Col. B1, D4)	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	J=\$15,000 or less (See Col. C1, D3)	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	Q=Appraisal (See Col. C2)	R=Cost (real estate only)	S=Assessment	T=Cash/Market	
		U=Book value	V=Other	W=Estimated		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Cercone, David S.	3/22/2002

VII. Page 2 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place (2) after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Am't. Code1 (A-H)	Type (C) div. rent or int.)	Value Code2 (G-P)	Value Method Code (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
18 Centennial Money Market	A	div.	J	T	Exempt				
19									
20									
21									
22									
23									
24									
25									
26									
27									
28									
29									
30									
31									
32									
33									
34									
35									

1 Income/Gain Codes: 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 (See Col. B1, D4)

2 Value Codes: 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 (See Col. C1, D3)

3 Value Method Codes: Q=Appraisal; R=Cost (real estate only); S=Assessment; T=Cash/Market; U=Book value; V=Other; W=Estimated (See Col. C2)

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Cercone, David S.

Date of Report

3/22/2002

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Asset 13 (Parkvale Bank CDs) under Part VII listed on my first Financial Disclosure Report For Nomination Filing dated 8/1/2000, matured during a non-reporting period.

Asset 16 (U.S. Savings Bonds) and Asset 17 (PA State Employees' Retirement Account) under Part VII of my current report were inadvertently omitted from my first Financial Disclosure Report For Nomination Filing dated 8/1/2000.

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

David S. Cercone

Date 3/22/2002

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT
FOR NOMINEES

1. Person Reporting (Last name, first, middle initial) Cercone, David S.		2. Court or Organization		3. Date of Report 3/22/2002	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)		5. ReportType (check appropriate type) ___ Nomination, Date ___ ___ Initial ___ Annual ___ Final		6. Reporting Period	
7. Chambers or Office Address		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____			
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. Sign on last page.					

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☐ NONE (No reportable positions.)	
1 Custodian	Account #2 Under Pennsylvania Uniform Gifts to Minors Act
2	
3	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1	
2	
3	

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

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1		
2 2002	Administrative Office of PA Courts-judges salary	\$ 19,886.00
3 2002	University of Pittsburgh-teaching salary	\$ 2,650.00
4 2000	Administrative Office of PA Courts-magistrate's salary	\$
5 2001	Administrative Office of PA Courts-magistrate's salary	\$
2002	Administrative Office of PA Courts-magistrate's salary	\$