

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) Sorokin, Leo T.	2. Court or Organization District Court, Massachusetts	3. Date of Report 11/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	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 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

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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.		
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	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. ABA Criminal Law Section Conference	11/08/2019-11/11/2019	Washington, DC	Presenting on Breakout Panel	Transportation and food
2. University of Michigan School of Law	02/21/2019-02/22/2019	Ann Arbor, MI	Presenting on Panel and Speaking to students	Transportation, lodging and food
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.		
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)	(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 [REDACTED] Property, Barnstable Cty MA (2001, 273,100)	C	Rent	N	R					
2. Bank of America Accounts	A	Interest	J	T					
3. IRA #1									
4. -Fidelity Contrafund	B	Distribution	L	T					
5. -Fidelity Pacific Basin	A	Distribution	K	T					
6. -Davis NY Venture Fund C	D	Dividend	L	T					
7. -Fidelity Gov't Cash Reserves	A	Dividend	J	T					
8. Intentionally Blank									
9. Intentionally Blank									
10. Intentionally Blank									
11. IRA #3									
12. -Amazon		None	M	T					
13. -Intentionally Blank									
14. -FDIC Insured Deposit at BNY Mellon	A	Int./Div.	J	T					See Note
15. -Allianz FDS Small Cap	A	Dividend	J	T					
16. -Allianz Mid Cap Fund	B	Dividend	K	T					
17. -PIMCO Total Return	A	Dividend	K	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	

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18. Brokerage Acct#1									
19. -Intentionally Blank									
20. -Fidelity Government Money Market	A	Interest	K	T					
21. -Vanguard Total Stock Market ETF	A	Dividend	K	T					
22. -Bristol Myers Squibb	A	Dividend	J	T					
23. -Wisdomtree Investments	A	Dividend			Sold	04/03/19	J	A	
24. -Healthcare Realty Trust, Inc.	B	Dividend	K	T	Sold (part)	04/04/19	J	C	
25.					Sold (part)	12/11/19	J	C	
26. -Berkshire Hathaway Series B		None	J	T	Sold (part)	04/05/19	J	C	
27. -Saul Centers	A	Dividend			Redeemed	10/17/19	J	A	
28. -Alibaba		None	J	T	Sold (part)	12/11/19	J	C	
29. -Apple	B	Dividend	M	T					
30. -Sector Spdr Tech Select Sector	A	Dividend	L	T	Sold (part)	04/10/19	K	E	
31.					Sold (part)	12/11/19	J	D	
32. -Intentionally Blank									
33. IRA #4									
34. -Vanguard Prime Money Market Fund	A	Int./Div.	J	T	Buy	10/07/19	J		

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

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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	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)
35. -Vanguard 500 Index Fund Adm	B	Dividend	M	T	Buy (add'l)	12/10/19	J		
36.					Buy (add'l)	12/02/19	J		
37.					Buy (add'l)	11/18/19	J		
38.					Buy (add'l)	11/04/19	J		
39.					Buy (add'l)	10/25/19	J		
40.					Buy (add'l)	9/25/19	J		
41.					Buy (add'l)	09/10/19	J		
42.					Buy (add'l)	08/29/19	J		
43.					Buy (add'l)	7/31/19	J		
44.					Buy (add'l)	07/01/19	J		
45.					Buy (add'l)	05/20/19	J		
46.					Buy (add'l)	05/16/19	J		
47.					Buy (add'l)	05/6/19	J		
48.					Buy (add'l)	04/16/19	J		
49.					Buy (add'l)	03/25/19	J		
50.					Buy (add'l)	03/22/19	J		
51.					Buy (add'l)	02/04/19	J		

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52.					Buy (add'l)	01/07/19	J		
53. -Vanguard Intermediate Term Investment Grade Fund	A	Dividend	K	T					
54. -Vanguard U.S. Value Fund	B	Dividend	L	T	Buy (add'l)	12/10/19	J		
55.					Buy (add'l)	12/02/19	J		
56.					Buy (add'l)	11/18/19	J		
57.					Buy (add'l)	11/04/19	J		
58.					Buy (add'l)	10/25/19	J		
59.					Buy (add'l)	08/29/19	J		
60.					Buy (add'l)	07/31/19	J		
61.					Buy (add'l)	07/01/19	J		
62.					Buy (add'l)	05/20/19	J		
63.					Buy (add'l)	04/16/19	J		
64. - Vanguard Emerging Markets Stock Index Adm	B	Dividend	L	T	Buy (add'l)	12/10/19	J		
65.					Buy (add'l)	12/02/19	J		
66.					Buy (add'l)	11/18/19	J		
67.					Buy (add'l)	11/04/19	J		
68.					Buy (add'l)	10/25/19	J		

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69.					Buy (add'l)	09/25/19	J		
70.					Buy (add'l)	09/10/19	J		
71.					Buy (add'l)	07/31/19	J		
72.					Buy (add'l)	07/01/19	J		
73.					Buy (add'l)	05/16/19	J		
74.					Buy (add'l)	05/06/19	J		
75.					Buy (add'l)	03/18/19	J		
76. Brokerage Acct#2									
77. -Vanguard U.S. Value Fund	A	Dividend	K	T					
78. -Vanguard Total International Stock Index	A	Dividend			Sold	05/23/19	J	A	Converted to Admiral
79. -Vanguard Total International Stock Index Admiral	A	Dividend	J	T	Buy	05/23/19	J		Conversion from Line 78
80. -Vanguard Total Stock Market Index	A	Dividend			Sold	05/23/19	J	A	Converted to Admiral Line
81. -Vanguard Total Stock Market Index Admiral	A	Dividend	J	T	Buy	05/23/19	J		Conversion from Line 80
82. -Vanguard 500 Index Fund	A	Dividend			Sold	05/23/19	J	A	Converted to Admiral
83. -Vanguard 500 Index Fund Admiral	A	Dividend	J	T	Buy	05/23/19	J		Conversion from Line 82
84. Brokerage Acct#4									
85. -American Century Income and Growth Fund	A	Dividend	K	T					

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86. IRA #5									
87. -American Century Equity Income	B	Dividend	K	T					
88. -American Century Prime Money Market	A	Interest	K	T					
89. -American Century Small Cap Value Fund	A	Dividend	K	T					
90. Limited Partnership Wolf Paca I	E	Int./Div.	M	U					
91. Limited Partnership Joppa East	A	Dividend	J	U					
92. OC, LLC		None	M	T					
93. IRA Account 14A									
94. -Fidelity Government Money Market	A	Interest	J	T					
95. -Matthews Pacific Tiger	A	Dividend	K	T					
96. -Sector Spider Technology Select	A	Dividend	J	T					
97. -Square Inc		None	J	T					
98. Brokerage Account 14B									
99. -Fidelity Government Money Market	A	Interest	J	T					
100. -Sterling Bank Corp	A	Dividend	J	T					
101. -Canopy Growth		None	J	T					
102. Trust #4									

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103. -Fidelity Government Money Market	A	Int./Div.	L	T					
104. -Williams Companies	A	Int./Div.	J	T					
105. - Fund Royce Opportunity Fund Investment Class N/L		None			Sold	09/18/19	K		
106. -Fund Oppenheimer DevMkts Fund		None			Sold	09/19/19	J		
107. - Kinder Morgan	A	Int./Div.	J	T					
108. -Hartford International Value Fund		None			Sold	09/18/19	J		
109. -Berkshire Hathaway B		None	K	T					
110. -Crown Castle	A	Int./Div.	K	T					
111. - Stock Alleghany Corp		None	K	T					
112. -Flow 2006 LLC	E	Int./Div.	M	W					
113. -VSECU Bank Account	A	Int./Div.	L	T					
114. -Fund Hartford Capital Appreciation Fund Class A	B	Int./Div.	K	T					
115. -Liberty Broadband Corp Series A (LBRDA)		None	J	T					
116. -Liberty Broadband Corp Series C (LBRDK)		None	J	T					
117. -Liberty Media Corp Com A (LSXMA)		None	J	T					
118. -Liberty Media Corp Delaware Com C (LSXMK)		None	J	T					
119. -Liberty Media Corp Delaware Com A (BATRA)		None	J	T					

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120. -Liberty Media Corp Delaware Com C Media (FWONK)		None	J	T					
121. -Liberty Media Corp Delaware Com A Media (FWONA)		None	J	T					
122. -Liberty Media Corp Delaware Com C (BATRK)		None	J	T					
123. -Fund Third Avenue Focused Credit Fund Investor Class (Y)									See Note
124. -Longleaf Small-cap Fund		None			Sold	09/18/19	K		
125. -Putnam Capital Spectrum		None			Sold	09/18/19	J		
126. -Netflix		None	K	T					
127. -Canopy Growth		None	J	T					
128. Trust #5									
129. -Fidelity Government Money Market	A	Interest	K	T					
130. -Stock Sector Spdr TR Tech Select Sector XLK	A	Int./Div.	K	T					
131. -Alibaba Group		None	K	T					
132. -Verizon Communications	A	Int./Div.	K	T					
133. -Gunpowder W Corp.		None	J	W					
134. -Joppa East Limited Partnership	A	Int./Div.	J	W					
135. -Mayfield W, Inc.	A	Int./Div.	J	W					
136. -MHW, LLC	E	Distribution	L	W					

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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Sorokin, Leo T.

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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)	(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)
137. -Exploration Capital 2005		None			Redeemed	01/01/19	K	A	
138. -Wolf Realty Corp.		None	J	W					
139. -Saul Centers Bond	A	Int./Div.			Redeemed	10/17/19	J	A	
140. -VSECU Bank Account	A	Int./Div.	L	T					
141. -Merck	B	Int./Div.	K	T					
142. -Sutter Rock Capital	A	Int./Div.	J	T					Was named GSV Capital
143. -Loan to Trust #4		None	L	W					
144. -Alphabet		None	J	T					
145. -Home Depot	A	Int./Div.	J	T					
146. -Salesforce Com		None	K	T					
147. IRA Account 20									
148. -Intentionally Blank									
149. -Fidelity FDIC Insured Deposit	A	Int./Div.	J	T					
150. -Lyft Inc		None	J	T	Buy	03/29/19	J		
151. -Chipotle		None	K	T					
152. -Illumina		None	K	T					
153. -Netflix		None	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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Sorokin, Leo T.

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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)	(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)
154. -Synaptics		None	J	T					
155. -Square Inc. - A		None	J	T					
156. -Amazon		None	K	T					
157. IRA BA 17- DONE									
158. -AMG Managers Fair Pointe Mid Cap fund	A	Dividend	J	T					
159. -American Mutual Fund CI F2	A	Dividend	J	T					
160. -Brown Capital Mgt Small C. Inv.	A	Dividend	J	T					
161. -Intentionally Blank									
162. -Fidelity 500 Index FD Investor Class	A	Dividend	J	T					
163. -Intentionally Blank		None							
164. -Aberdeen Total Return Bond Fund CI I	A	Dividend	J	T					
165. -Intentionally Blank									
166. -Fidelity Total Bond	A	Dividend	J	T					
167. -PIMCO Total REturn Instl	A	Dividend	J	T					
168. -Osterweis Strategic Income Fund	A	Dividend			Sold	06/03/19	J	A	
169. -Fidelity Cash Reserves	A	Interest	J	T					
170. -Fidelity Small Cap Index Investor	A	Distribution	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 =\$250,000,001 - \$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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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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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)
171. - Costco Wholesale	A	Dividend	K	T					
172. IRA 18									
173. -Schwab Adv Cash Reserves	A	Dividend	K	T					
174. -Plum Crk Tmbrlnd Bonds due 3/15/21	A	Interest	J	T					
175. -Abbot Labs	A	Interest	J	T					
176. -Acuity Brands	A	Dividend	J	T					
177. -CISCO Systems	A	Dividend	J	T					
178. -General Electric Co.	A	Dividend	J	T					
179. -International Business Machines	A	Dividend	K	T					
180. -PPG Industries	A	Dividend	J	T					
181. -United Parcel Service Class B	A	Dividend	J	T					
182. -Weyerhaeuser Co REIT (formerly Plum Creek Timber Co. REIT)	A	Interest	J	T					
183. -Marathon Value Portfolio	B	Dividend	K	T					
184. -Vanguard Total Stock Market Index Fund	A	Dividend			Sold	07/29/19	K	A	Conversion to Admiral
185. -Vanguard Total Stock Market Index Admiral	A	Dividend	K	T	Buy	07/29/19	K		Conversion from Line 186
186. -Ishares Exp Technology ETF	A	Dividend	K	T					
187. -Technology Select Sector Spdr ETF	A	Dividend	K	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	
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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)	(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)
188. -Fuel Cell Energy		None	J	T					
189. -WABTEC	A	Dividend	J	T	Spinoff (from line 178)	02/26/19	J		
190. Utah Ed Savings Age Based Aggressive Global Fund	B	Dividend	L	T	Buy (add'l)	12/16/19	J		
191.					Buy (add'l)	12/3/19	J		
192.					Buy (add'l)	11/04/19	J		
193.					Buy (add'l)	10/3/19	J		
194.					Buy (add'l)	09/03/19	J		
195.					Buy (add'l)	08/05/19	J		
196.					Buy (add'l)	07/03/19	J		
197.					Buy (add'l)	06/03/19	J		
198.					Buy (add'l)	05/03/19	J		
199.					Buy (add'l)	04/03/19	J		
200.					Buy (add'l)	03/04/19	J		
201.					Buy (add'l)	02/04/19	J		
202.					Buy	01/03/19	J		
203. USAA Bank Accounts	A	Int./Div.	J	T					
204. BA Account 19									

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
(See Columns B1 and D4)	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	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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		
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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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	(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)
205. -Schwab Cash Account	A	Int./Div.	J	T					
206.									

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	
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Name of Person Reporting

Sorokin, Leo T.

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

For 2019

Line 14 Name listed incorrectly on last year's report.

Line 123 Trust #4 Third Avenue Focused Credit Fund was sold due to fund liquidation on June 27, 2018 for a value of category J and no gain. This was inadvertently not reported on my 2018 report. In preparing the 2019 report, I discovered the error. Note that the value had declined to below \$1,000.00.

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Name of Person Reporting

Sorokin, Leo T.

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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/ **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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One Columbus Circle, N.E.
Washington, D.C. 20544