

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Kosik, Edwin M.	2. Court or Organization U.S. District Court/M.D. Pa.	3. Date of Report 04/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address William J. Nealon Federal Bldg. & U.S. Courthouse North Washington and Linden Streets P.O. Box 856 Scranton, PA 18501		
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. 7/16/1986	Blue Cross/Blue Shield fully paid as part of State Retirement
2. _____	_____
3. _____	_____

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Name of Person Reporting

Kosik, Edwin M.

Date of Report

04/24/2014

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. 01/12/2013	Commonwealth of Pennsylvania Retirement	\$53,298.00
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.	
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Kosik, Edwin M.	04/24/2014

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.		

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. Pennstar Bank, Carbondale, PA (Savings)	B	Interest	L	T					
2. Penn Security Bank, Moscow, PA (Savings)	A	Interest	K	T					
3. Mutual of New York (1987) Single Premium Policy	B	Dividend	K	T					
4. First Credit Union, Scranton, PA (Savings)	B	Interest	M	T					
5. PNC Bank, Scranton, PA (Checking)	A	Interest	J	T					
6. Pennstar Bank, Carbondale, PA (Cert. Dep.)	B	Interest	L	T					
7. Prudential Equity Fund, Class B (Y)									
8. Prudential World Fund, Global Series B (Y)									
9. Cisco Systems, Inc.	A	Dividend	K	T					
10. Coca Cola Co. Delaware	A	Dividend	K	T					
11. General Electric Co.	A	Dividend	L	T					
12. Intel Corp.	A	Dividend			Sold	11/26/13	K	D	
13. Merck & Co.	A	Dividend	L	T					
14. Microsoft Corp. Washington	C	Dividend	L	T					
15. Pepsico, Inc.	A	Dividend	M	T					
16. Praxair, Inc.	A	Dividend	M	T					
17. Schering Plough Corp. (Y)									

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

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)
18. Tricon Global Restaurants, Inc. (Y)									
19. Union Carbide Corp. (Y)									
20. Prudential World Fund, Inc. Global Series Class A (Y)									
21. Command Money Fund	C	Interest	L	T					
22. Prudential Special Money Market Fund Inc. (Y)									
23. Alliance Quasar Fund Class B (Y)									
24. Target, Large Cap Fund (Y)									
25. Strategic Partners New ERA Growth Fund, Class B (Y)									
26. Prudential Financial Inc.	A	Dividend	J	T					
27. Wachovia Corp. (Y)									
28. NBT Bank Corp. (Y)									
29. Alger Midcap Growth Fund (Y)									
30. Alliance Bernstein Growth Fund (Y)									
31. Badger TOB Asset Scrutinization (Y)									
32. IDEX Mutual Fund (Y)									
33. Pimco Small Cap Fund (Y)									
34. Strategic Partners Large Cap (Y)									

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(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		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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35. Lord Abbett Midcap (Y)									
36. YUM Brands	A	Dividend	L	T					
37. Cohen & Steers REIT Utility Fund	A	Interest			Sold	11/26/13	K	A	
38. John Hancock Tax-Adv Dividend Fund (Y)									
39. NFJ Dividend Interest Premium Strategy Fund (Y)									
40. Allianz NFJ Small Cap (Y)									
41. Colgate Palmolive (Y)									
42. Goldman Sachs TR High Yield Municipal (Y)									
43. Eaton Vance Insured Municipal Bond Fund (Y)									
44. Pfizer Inc.	A	Dividend	K	T					
45. DWS Managed Municipal - Class C (Y)									
46. Nuveen Inv. Trust (Y)									
47. Kinetics Mutual Fds.	A	Dividend	J	T					
48. Hartford Mutual Fds. (Y)									
49. Pimco	B	Dividend	J	T					
50. Thornburg Inv. Trust (Y)									
51. Wells Fargo Advantage	A	Dividend	K	T					

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(See Columns B1 and D4)

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52. Ivy Fds. Inc.	B	Dividend	K	T					
53. Blackrock Fds. II	A	Dividend	J	T					
54. Blackrock Global	A	Dividend	K	T					
55. Calamos Invt. Tr. (Y)									
56. First Eagle Fds. Inc.	A	Dividend	K	T					
57. Goldman Sachs Tr.	A	Interest	J	T					
58. DWS Managed Municipal - Class A (Y)									
59. Fund Source Mutual		None	K	T					
60. Royal Dutch Shell A	A	Dividend	K	T					
61. Goldman Sachs MLP Intrastructure	C	Distribution	L	T	Buy	11/27/13	L		

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

All stocks reported are common stocks. The buys were principally funded by the sold. Assets marked with (Y) are assets of [REDACTED] which were distributed to other [REDACTED].

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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/ Edwin M. Kosik**

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