

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Falk, Mark	2. Court or Organization United States District Court - New Jersey	3. Date of Report 02/17/2022
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 01/01/2020 to 12/31/2020
	5b. ☒ Amended Report	
7. Chambers or Office Address United States Magistrate Judge, District of New Jersey United States Post Office & Courthouse One Federal Square, Rm 457 Newark, New Jersey 07101-0999		
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. Trustee	Trust #1
2. Co-Trustee	Living Trust 2
3. Co-Trustee	GST Trust #4
4. Co-Trustee	GST Trust #5
5. President	Federal Magistrate Judges Association
6. Immediate Past President	Federal Magistrate Judges Association
7. Adjunct Professor	Rugters School of Law
8. Adjunct Professor	Fordham Law School

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. 10/01/2021	I am retiring on September 27, 2021. I have an agreement to join the Walsh, Pizzi, O'Reilly, Falanga law firm as counsel on October 1, 2021.
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. 2020	Fordham Law School-teaching	\$2,500.00
2. 2020	Rutgers Law School-teaching	\$1,886.00
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. 2020.	Self-employed (court stenography)
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.				

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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.		

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. Trust #1 (H)									
2. Fidelity Ginnie Mae Fund	A	Dividend	J	T					
3. Fidelity N.J. Muni Money Market Fund	A	Dividend	K	T					
4. Fidelity Floating Rate	A	Dividend	J	T					
5. Fidelity Cash Reserves	B	Dividend	M	T					
6. IRA #1 (H)									
7. -MS U.S. Govt. Securities Trust B	B	Int./Div.	L	T					
8. IRA #2 (H)									
9. -Rydex Invers. Govt Long Bond	A	Interest	K	T					
10. -Vanguard Short Term Investors	A	Dividend	K	T					
11. -Vanguard Fixed Income High Yield	B	Dividend	K	T					
12. -Vanguard Div. App. Index	A	Dividend	K	T	Sold (part)	04/09/20	J	C	
13. -Vanguard Value Index	A	Dividend	K	T	Sold (part)	08/05/20	J	C	
14. -Ishares Russell Midcap Value Index	A	Dividend	K	T					
15. -Ishares Russell 1000 Value Index	A	Dividend	K	T					
16. -Fidelity Convertible Securities Fund	A	Dividend	J	T	Sold (part)	04/09/20	K	C	
17. -Nasdaq 100 Trust Unit Stock	A	Dividend	K	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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	(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. -Fidelity Overseas Mutual Fund	A	Dividend	K	T					
19. -Fidelity Puritan Mutual Fund	A	Dividend	K	T					
20. -Fidelity Blue Chip Growth Mutual Fund	A	Dividend	J	T					
21. -Fidelity Cash Reserves	D	Interest	O	T					
22. -Fidelity US Bond Index	A	Dividend	K	T					
23. -Fidelity Ext. MKT Index Premium Class	A	Dividend	K	T					
24. -Fidelity Intl. Index Premium Class	A	Dividend	K	T	Sold (part)	04/08/20	J	B	
25. -Fidelity Intl. Treasury Bond Index	A	Dividend	J	T					
26. -Fidelity 500 Index Premium Class	A	Dividend	J	T					
27. -Vanguard Inflation Protected SECs	A	Dividend	K	T					
28. -Vanguard Small Cap Value Index	A	Dividend	J	T					
29. -Fidelity Magellan Mutual Fund	C	Dividend	K	T	Sold (part)	04/07/20	J	B	
30. -Fidelity Ginnie Mae Fund	A	Dividend	J	T					
31. -Fidelity Growth & Income Mutual Fund	A	Dividend	J	T					
32. -Fidelity Intermediate Bond Mutual Fund	A	Dividend	J	T	Buy	04/09/20	J		
33. -Fidelity Govt. Money Market*	A	Interest	J	T					
34. -Fidelity Short Term Bond	A	Dividend	J	T	Buy	04/08/20	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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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)
35. -Vanguard Wellesley Inc.	A	Dividend	K	T					
36. -Doubleline Bond Fund	A	Dividend	K	T	Sold (part)	08/04/20	K	A	
37. -Ishares Silver	A	Interest	J	T					
38. -Ishares China ETF	A	Dividend	K	T	Sold (part)	03/31/20	K	A	
39. -Pro Shares Short Dow	A	Dividend	K	T					
40. -Pro Shares Ultrashort SC600	A	Dividend	J	T					
41. -Pro Shares Ultra Short Cap	A	Dividend	J	T					
42. -Pro Shares SHort S&P 500	A	Dividend	K	T					
43. -Pro Shares Short QQQ	A	Dividend	J	T					
44. -Fidelity Floating Rate High Income	C	Dividend	K	T	Sold (part)	03/31/20	K	A	
45. IRA #3 (H)									
46. -Vanguard Total Stock Market Index Mutual Fund	B	Dividend	M	T					
47. Alcoa Common Stock	A	Dividend	J	T					
48. Coca Cola Common Stock	A	Dividend	J	T					
49. Brokerage Account #1 (H)									
50. -Morgan Stanley Tax Free Daily Income Trust	A	Interest	J	T					
51. -Morgan Stanley Bank	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	
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52. -PIMCO Short Term P	B	Dividend	L	T	Sold (part)	01/31/20	L	A	
53. -Western Ast Int Term Muni I	C	Dividend	L	T					
54. -Wells Fargo St Muni Bd INS	B	Dividend	L	T					
55. -Invesco Cons Inc.	A	Dividend	L	T	Buy	01/31/20	L		
56. -SPDR Nuveen Barclays Mun ETF	A	Dividend	K	T	Sold (part)	04/10/20	J	A	
57. -SPDR Nuveen Barclays Short ETF	A	Dividend	K	T					
58. -ISHARES Russell 1000 GRW ETF	A	Dividend	J	T					
59. -Deutsche X-Trackers MSCI EAF	A	Dividend	J	T					
60. -E V Income Fund of Boston I	A	Dividend	J	T	Sold (part)	04/14/20	J	A	
61. -Cambiar INTL Equity INV	A	Dividend	J	T					
62. -ISHARES Russell 1000 Value ETF	A	Dividend	J	T					
63. -PIMCO Foreign BD US \$ Hedged P	A	Dividend	J	T					
64. -Wells Fargo Emerg Mrk EQ Inc.	A	Dividend	J	T	Buy	04/14/20	J		
65. -Delaware Value INSTL	A	Dividend	J	T					
66. -ISHARES RUSSELL 2000 Growth ETF	A	Dividend	J	T	Buy	04/14/20	J		
67. -Wells Fargo Special MDCP VL AD	A	Dividend	J	T					
68. -Hartford Midcap I	A	Dividend	J	T					

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69. -ISHARES RUSSELL Midcap V ETF	A	Dividend	J	T					
70. -ISHARES RUSSELL Midcap G ETF	A	Dividend	J	T					
71. -Delware Inv Sm Cap Val INST	A	Dividend	J	T	Buy	04/14/20	J		
72. -Edgewood Growth Instl	A	Dividend	J	T					
73. -Harding Loevner Intl EQTY INSTL	A	Dividend	J	T	Sold (part)	05/20/20	K	B	
74. -T. Rowe Price QM US	A	Dividend	J	T	Buy	04/14/20	J		
75. -Wisdom Tree Jap	A	Dividend	J	T					
76. -ISHARES MSCI Japan ()	A	Dividend	J	T					
77. -Goldman Sachs Emeg	A	Dividend	J	T					
78. -Loomis Growth Y	A	Dividend	J	T					
79. -Oakmark International	A	Dividend	J	T					
80. -Matthews Asian Japan	A	Dividend	J	T					
81. -Blackrock Nat Mun	A	Int./Div.	L	T					
82. IRA 4 (H)	A	Int./Div.	K	T					
83. -Lincoln S&P Cap	A	Interest	J	T					
84. -Lincoln S&P 500	A	Interest	J	T					
85. SEP Account 1 (H)									

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
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86. -Vanguard Total Stock Market Index Mutual Fund	D	Dividend	O	T					
87. -Vanguard Prime Money Market Fund	D	Interest	N	T					
88. -Vanguard Wellesly	B	Dividend	L	T	Sold (part)	05/05/20	J	A	
89. Wells Fargo Cash Account 1	A	Interest	L	T					
90. Wells Fargo Cash Account 2	A	Interest	J	T					
91. Wells Fargo Cash Account 3	A	Interest	J	T					
92. Bank of America Cash Account 1	A	Interest	J	T					
93. Amboy Bank Cash Account	A	Interest	J	T					
94. Investment Account #2 (H)									
95. -Fidelity NJ Muni Money Market	A	Dividend	J	T					
96. -Fidelity Floating Rate	A	Dividend	J	T					
97. -Fidelity GNMA Fund	A	Dividend	J	T					
98. -Fidelity Cash Reserve	A	Dividend	K	T					
99. -Fidelity Convertible Securities	B	Dividend	K	T					
100. Bank of America Cash Account 2	A	Interest	J	T					
101. Bank of America Cash Account 3	A	Interest	J	T					
102. Bank of America Cash Account 4	A	Interest	K	T					

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103. Santander Cash Account	A	Interest	J	T					
104. Investment Account #3 (H)									
105. -Vanguard Growth & Income	B	Dividend	K	T					
106. -Vanguard Healthcare	B	Dividend	K	T					
107. -Vanguard Inter-Tax Exempt	A	Dividend	J	T					
108. -Vanguard Prime Mkt Fund	C	Dividend	N	T					
109. -Vanguard Total Stk Mk.	A	Dividend	K	T					
110. -Vanguard 500 Index	A	Dividend	L	T					
111. Investment Account #4 (H)									
112. -Charles Schwab Money Market	B	Interest	M	T					
113. -Fidelity NY Muni Income	A	Dividend	K	T					
114. -Charles Schwab US REIT	A	Dividend	J	T					
115. -Powershares S&P	A	Dividend	J	T					
116. -Schwab International	A	Dividend	J	T					
117. Investment Account #5 (H)									
118. -Charles Schwab Money Market	B	Interest	L	T					
119. -Osterweis Strategic	A	Dividend	K	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)
120. -USAA Tax Exempt	A	Dividend	J	T					
121. Eastman Chemical	A	Dividend	J	T					
122. Trust #4 (H)									
123. -Morgan Stanley Private Bank	B	Interest	J	T					
124. -America Fund C	A	Dividend	K	T					
125. -American Fundamental Inve	B	Dividend	L	T					
126. -American Cap Inc Builder C	C	Dividend	M	T	Sold (part)	06/02/20	M	A	
127. -American Bond Fund	A	Dividend	J	T	Buy	06/02/20	M		
128. -Blackrock Strat Inc Opp C	B	Dividend	L	T					
129. -Chase Checking	A	Interest	L	T					
130. Trust #5 (H)									
131. -Chase Checking	A	Interest	J	T					
132. -ISHARES RUSSELL 2000 Value ETF	A	Dividend	J	T					
133. -Investors Bank	C	Interest	K	T					
134. -M&T Cash Acc	A	Interest	J	T					
135. Mass Mutual Index Horizons	A	Interest	K	T					
136. Chase Checking	A	Interest	L	T					

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		
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		

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. Chase Savings	A	Interest	K	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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Name of Person Reporting

Falk, Mark

Date of Report

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

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Name of Person Reporting

Falk, Mark

Date of Report

02/17/2022

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/ **Mark Falk**

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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