

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) Mazzone, James P.	2. Court or Organization U.S. District Court, West Virginia Northern District	3. Date of Report 04/28/2021
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 District Court for the Northern District of West Virginia 1125 Chapline Street Wheeling WV 26003		
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. Co-Trustee (non-compensated)	██████████ Irrevocable Trust (closed 6/5/2020)
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.	
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. 2020	Brooke County Board of Education - Executive Administrative Assistant
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. Bank of America	Credit Card	J
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) 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)
1. JP Morgan IRA Deposit Sweep Money Market Fund	A	Interest	J	T					
2. WCM Focused Int'l f/k/a/Investment Managers Service	A	Dividend	K	T					
3. JP Morgan Fleming Mutual Fund	B	Dividend	J	T					
4. JP Morgan TR 1 - Equity	C	Dividend	L	T					
5. JP Morgan TR 1 - Equity Inc	A	Dividend	K	T					
6. MFS Ser TR 1	A	Dividend	J	T					
7. Rowe T Price Blue Chip	A	Dividend	K	T					
8. Select Sector Spdr Fund	A	Dividend	J	T					
9. Select Sector Spdr Trust	A	Dividend	J	T					
10. Tributary FDS Inc	A	Dividend	J	T	Sold	03/06/20	J	A	
11. Vanguard Specialized	A	Dividend	K	T					
12. Vanguard World Fund	C	Dividend	K	T					
13. Doubleline FDS TR	B	Dividend	K	T					
14. JP Morgan TR II	B	Interest	L	T					
15. Mainstay FDS/TR	A	Dividend	K	T	Sold	03/09/20	J	A	
16. Pimco Trust Return	B	Dividend	L	T					
17. Pimco Income Fund	B	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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☐ 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. JP Morgan Cash Account	A	Interest	J	T					
19. Blackrock FDS V HGH YLD Bond Portfolio International Growth	A	Interest	J	T	Sold	03/19/20	J	A	
20. Cohen & Steers Real Estate Secs FD	A	Interest	J	T	Sold	03/19/20	J	A	
21. [REDACTED] Irr Trust - Synchrony Bank (H)	B	Interest	M	T	Closed	06/05/20	N	C	
22. [REDACTED] Irr Trust - Ally Bank (H)	B	Interest	M	T	Closed	06/05/20	N	C	
23. [REDACTED] Irr Trust - Discover Bank (H)	B	Interest	M	T	Closed	06/05/20	N	C	
24. [REDACTED] Irr Trust - House (H)		None	M	W	Closed	06/05/20	M	A	
25. Calvert World	A	Dividend	J	T	Buy	11/19/20	J		
26. JP Morgan MUT FD Invt Tr	A	Dividend	J	T	Buy	11/19/20	J		
27. Janus Invt FD	A	Dividend	J	T	Buy	08/25/20	J		
28. JP Morgan Mid Cap Growth	A	Dividend	J	T	Buy	08/25/20	J		
29. JP Morgan Tr 4 Care Bond FD	B	Interest	L	T	Buy	02/27/20	L		
30. SPDR Gold Tr	A	Dividend	K	T	Buy	08/25/20	K		
31. WCM Focused Global Growth	A	Dividend	J	T	Buy	08/25/20	J		
32. Equitable (Annuity)		None	M	T	Buy	11/30/20	M		

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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)					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part 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/ **James P. Mazzone**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544