

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Saporito, Joseph F.	2. Court or Organization United States District Court Middle District of Pennsylvania	3. Date of Report 07/13/2015
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 04/30/2015
7. Chambers or Office Address Max Rosenn United States Courthouse 197 South Main Street, Suite 161 Wilkes-Barre, PA 18702		
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. Partner	Saporito, Saporito & Falcone
2. Employee	Office of the Public Defender of Luzerne County
3. President	Wilkes-Barre Law & Library Association
4. President	Luzerne County Bar Association Charitable Foundation, Inc.
5. Director/Secretary	Earthly Angels Autism Board
6. Co-Trustee	Trust #1
7. Co-Trustee	Trust #2
8. Co-Trustee	Trust #3
9. Co-Trustee	Trust #4
10. Co-Trustee	Trust #5
11. Trustee	Trust #6
12. Trustee	Trust #7
13. Executor	Estate #1

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*☐NONE *(No reportable agreements.)*DATEPARTIES AND TERMS

- | <u>DATE</u> | <u>PARTIES AND TERMS</u> |
|-------------|---|
| 1. 1985 | Luzerne County, PA Defined Benefit Pension Plan |
| 2. 2015 | Saporito, Saporito & Falcone Payment of fair value of interest in former Law Firm and sharing in future contingent fees reflecting value of services rendered |
| 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. 2013	Saporito, Saporito & Falcone	\$125,085.00
2. 2014	Saporito, Saporito & Falcone	\$99,051.00
3. 2013	Luzerne County	\$45,230.52
4. 2014	Luzerne County	\$45,241.04
5. 2014	Executor of the Estate #1	\$17,000.00

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. 2013	Luzerne Intermediate Unit #18 - Salary
2. 2014	Luzerne Intermediate Unit #18- Salary
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. Exempt				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Discover	Credit Card	K
2.	First National Community Bank	Mortgage on Rental Property #1, Pittston, PA (Pt. VII line1)	K
3.	First National Community Bank	Line of Credit on Rental Property #1, Pittston, PA (Pt. VII line 1)	J
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. Rental Property #1, Pittston, PA \$105,000	D	Rent	M	S	Exempt				
2. Boeing Co.	A	Dividend	K	T	Exempt				
3. Dreyfus Worldwide Dollar Money Market	A	Interest	J	T	Exempt				
4. Dreyfus Active MidCap Cl A	D	Dividend	M	T	Exempt				
5. First National Community Bank Stock	A	Dividend	J	T	Exempt				
6. Brokerage Acct # 1 (H)									
7. -AFLAC, Inc.	D	Dividend	J	T	Exempt				
8. -AMEC Foster Wheeler ADRF	A	Dividend	J	T	Exempt				
9. -Bank of America Stock	A	Dividend	L	T	Exempt				
10. -BB & T Corp Stock	A	Dividend	J	T	Exempt				
11. -Black Rock PA Strat Muni	A	Dividend	J	T	Exempt				
12. -Equity Commonwealth		None	J	T	Exempt				
13. -Gabelli Conv. Incm Sec.	A	Dividend	J	T	Exempt				
14. -GE Stock	A	Dividend	J	T	Exempt				
15. -Nuveen Qual PFD Inc.	A	Dividend	J	T	Exempt				
16. -Startek Inc. Stock		None	J	T	Exempt				
17. -Unilever PLC DDR	A	Dividend	J	T	Exempt				

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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	(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)

18. -Waste Management Stock	A	Dividend	J	T	Exempt				
19. Wells Fargo Stock	A	Dividend	K	T	Exempt				
20. Janus Enterprise Fund D	A	Dividend	J	T	Exempt				
21. Lincoln Financial Group	A	Interest	J	T	Exempt				
22. Brokerage Acct #2 (H)									
23. -Community Bank Systems Stock	A	Dividend	J	T	Exempt				
24. -Walt Disney Co. Stock	A	Dividend	K	T	Exempt				
25. -DAF S and P 500 Trust 2	A	Dividend	J	T	Exempt				
26. -Davis NY Venture	A	Dividend	K	T	Exempt				
27. -Fidelity ADV Diversified	A	Dividend	J	T	Exempt				
28. Fidelity VIP Growth Port.	A	Dividend	K	T	Exempt				
29. State Farm Life Insurance Co. Whole Life Policy	A	Int./Div.	J	T	Exempt				
30. Mony	A	Int./Div.	J	T	Exempt				
31. First National Community Bank (Account)	A	Interest	J	T	Exempt				
32. Wells Fargo (Accounts)	A	Interest	J	T	Exempt				
33. AXA Equitable (Variable) AXA Guaranteed Interest Account	A	Interest	J	T	Exempt				
34. Vanguard 500 Index Fund Admiral Shares	A	Dividend	L	T	Exempt				

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35. State Farm Life Insurance Co. Whole Life Policy	A	Int./Div.	J	T	Exempt				
36. Wells Fargo (Accounts)	A	Interest	J	T	Exempt				
37. Lincoln National life Insurance Co. Universal Life Policy	A	Interest	J	T	Exempt				
38. First National Community Bank (Account)	A	Interest	K	T	Exempt				
39. Landmark Community Bank (Account)	A	Interest	K	T	Exempt				
40. Brokerage Acct. # 3 (H)									
41. -Alliance Bernstein IN	A	Dividend	J	T	Exempt				
42. -Connagra Foods Stock	A	Dividend	J	T	Exempt				
43. -Equity Commonwealth	A	Dividend	J	T	Exempt				
44. -GE Stock	A	Dividend	J	T	Exempt				
45. -Harsco Corp. Stock	A	Dividend	J	T	Exempt				
46. -Hewlett Packard Co. Stock	A	Dividend	J	T	Exempt				
47. -Hormel Foods Corp.	A	Dividend	J	T	Exempt				
48. -Lockhead Martin Corp. Stock	A	Dividend	K	T	Exempt				
49. -Northrop Grumman Co, Stock	A	Dividend	K	T	Exempt				
50. -Nuveen Pennsylvania INVE Stock	A	Dividend	J	T	Exempt				
51. -Nvidia Corp. Stock	A	Dividend	J	T	Exempt				

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52. -PPL Corp Stock	A	Dividend	J	T	Exempt				
53. -SYSCO Corp. Stock	A	Dividend	J	T	Exempt				
54. -TEVA Pharm. Inds. Ltd. F	A	Dividend	J	T	Exempt				
55. -Unilever PLC F	A	Dividend	J	T	Exempt				
56. -Verizon Communication Stock	A	Dividend	J	T	Exempt				
57. -Visa Inc. CL A	A	Dividend	K	T	Exempt				
58. -Waste Management Stock	A	Dividend	J	T	Exempt				
59. -Xerox Corp. Stock	A	Dividend	J	T	Exempt				
60. Brokerage Acct #4 (H)									
61. -MS Duel Directional Trigger Plus On The S & P 500 Index		None	J	T	Exempt				
62. -Blackstone/GSO STRAT Credit FD	A	Dividend	J	T	Exempt				
63. -Doubleline Income Solutions FD	A	Dividend	J	T	Exempt				
64. -John Hancock Hedged EQ & Inc. FD	A	Dividend	J	T	Exempt				
65. -Nuveen Short Duratn CR OPP FD	A	Dividend	J	T	Exempt				
66. -MS 6.5% contingent Coupon Note Linked to S & P 500		None	J	T	Exempt				
67. -Blackrock Global Allocation C		None	J	T	Exempt				
68. -Columbia Interm Bond A	B	Dividend	K	T	Exempt				

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69. -Davis NY Venture C	A	Dividend	K	T	Exempt				
70. -First Eagle Overseas C	A	Dividend	J	T	Exempt				
71. -Franklin Rising Dividends C	B	Dividend	J	T	Exempt				
72. -Good Harbor Tactical Core US C		None	J	T	Exempt				
73. -Oppenheimer Rock Hi Yield Muni C		None	L	T	Exempt				
74. -Oppenheimer Rock PA Muni C	A	Interest	K	T	Exempt				
75. -PIMCO Asset AKK Authority C		None	J	T	Exempt				
76. -Prudential High Yield C	A	Dividend	J	T	Exempt				
77. -Transamerica High Yield Bond C	A	Dividend	J	T	Exempt				
78. -Transamerica Sht Term Bond C	A	Dividend	J	T	Exempt				
79. -Western Asset Core Plus BD C	A	Dividend	K	T	Exempt				
80. -Unit Claymore Guggenheim Intern Investment GRD Corp 19	A	Dividend	J	T	Exempt				
81. -Unit Guggenheim Energy 17		None	J	T	Exempt				
82. -Unit INVESCO S & P Dividend Sustainability 2013-14	A	Dividend	J	T	Exempt				
83. -Unit Guggenheim Closed-End Infrastructure & MLP 15	A	Dividend	J	T	Exempt				
84. -Unit First Trust WaterUtility Infrastructure Select 31	A	Dividend	J	T	Exempt				
85. State Farm Life Ins. Co. Whole Life Policy	A	Int./Div.	J	T	Exempt				

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86. Dreyfus Active Midcap CLA	A	Dividend	K	T	Exempt				
87. PNC Bank (Accounts)	A	Interest	J	T	Exempt				
88. American Income Fund	A	Dividend	J	T	Exempt				
89. American Capital Income Builder CL C	B	Dividend	K	T	Exempt				
90. Blackrock Global Allocation FD Inc. C	A	Dividend	K	T	Exempt				
91. Clough GBL OPPTYs	B	Dividend	K	T	Exempt				
92. Bank of America NA RASP	A	Interest	J	T	Exempt				
93. TYGS Realty Co. (H)									
94. - Rental Property No.1, Pittston, PA \$113,500	C	Rent	K	S	Exempt				
95. - Rental Property No. 2, Pittston, PA \$71,100	C	Rent	K	S	Exempt				
96. - Rental Property No. 3, Pittston, PA \$152,000	C	Rent	K	S	Exempt				
97. -Rental Property No. 4, Pittston PA \$256,000	D	Rent	L	S	Exempt				
98. -Rental Property No. 5, Pittston, PA \$300,000	D	Rent	L	S	Exempt				
99. -Fidelity Deposit & Discount Bank (Account)	A	Interest	J	T	Exempt				
100. -First National Community Bank (Account)	A	Interest	J	T	Exempt				
101. -Vanguard 500 Index Fund Admiral Shares	A	Dividend	K	T	Exempt				
102. Trust No. 1 (H)									

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103. - Nature's Way Purewater Systems, Inc. Stock		None	O	W	Exempt				
104. - Rental Property No. 1, Feasterville, PA (November 14, 2012)	E	Rent	M	Q	Exempt				
105. - Rental Property No. 2, Pittston, PA (May 30, 2012 and May 16, 2012)	E	Rent	L	Q	Exempt				
106. - Rental Property No. 3, Philadelphia, PA (April 8, 2013)	A	Rent	L	Q	Exempt				
107. - Rental Property No. 4, Blakeslee, PA	E	Rent	L	Q	Exempt				
108. - Rental Property No. 5, Wilkes-Barre, PA (August 1, 2014)	B	Rent	K	Q	Exempt				
109. - Rental Property No. 6, Nesquehoning, PA (October 18, 2007)	G	Distribution	L	Q	Exempt				
110. - Trust No. 2 (H)									
111. - Pacific Life Insurance Company, Omaha, NE Whole Life Policy	D	Int./Div.	M	T	Exempt				
112. - Pacific Life Insurance Company, Omaha, NE Whole Life Policy	D	Int./Div.	N	T	Exempt				
113. - The Guardian Life Ins. Company of America Survivorship Whole Life	D	Dividend	M	T	Exempt				
114. - The Guardian Life Ins. Company of America Survivorship Whole Life	D	Dividend	M	T	Exempt				
115. - Trust No. 3 (H)									
116. - Landmark Bank	A	Interest	J	T	Exempt				
117. - Trust No. 4 (H)									
118. - Rental Property No. 1, Blakeslee, PA	F	Rent	M	Q	Exempt				
119. - Trust No. 5 (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
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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Name of Person Reporting

Saporito, Joseph F.

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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)
120. - Voya Security Life of Denver Whole Life Policy	E	Int./Div.	N	T	Exempt				
121. - Phoenix Interest Sensitive Whole Life	A	Int./Div.	L	T	Exempt				
122. -Knights of Columbus Whole Life Policy	B	Int./Div.	L	T	Exempt				
123. - Knights of Columbus Whole Life Policy	B	Int./Div.	L	T	Exempt				
124. - The Guardian Life Ins. Company of America Survivorship Whole Life	D	Dividend	M	T	Exempt				
125. - The Guardian Life Ins. Company of America Survivorship Whole Life	D	Dividend	N	T	Exempt				
126. Trust No. 6 (H)									
127. -Wells Fargo (Account)	A	Int./Div.	J	T	Exempt				
128. -PNC Bank (Account)	A	Interest	L	T	Exempt				
129. Trust No. 7 (H)									
130. -Bank of America (Accounts)	A	Interest	K	T	Exempt				
131. Estate No. 1	E	Distribution	J	T	Exempt				

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

Part VII. Investments and Trusts. Item. 100 (Nature's Way Purewater Systems, Inc.) This is an estimated value derived from a valuation by a certified public accountant.

Item 107 (Rebtal Property No. 4, Blakeslee, PA) The appraisal for this property was performed for the lending institution and not the owner of the property. A request has been made for the date of the appraisal and as of the filing of this Report it has not been received.

Item 126 (Trust No. 6) In June, 2015, the Court of Common Pleas of Luzerne County, PA, Orphans' Court Division named a new trustee to administer this trust.

Item 129 (Trust No. 7) I will be applying to the Court of Common Pleas of Luzerne County, PA, Orphans' Court Division for the appointment of a new trustee.

Item 131 (Estate No. 1) This estate was settled during calendar year 2013 and my executor's commission was received in that year. The estate has no reportable assets.

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Name of Person Reporting

Saporito, Joseph F.

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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/ Joseph F. Saporito**

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
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