

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 US District Court-New Jersey	3. Date of Report 08/09/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge-Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S.P.O. & Courthouse 1 Federal Square Newark, NJ 07101		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2011

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. New York Intellectual
Property Law Association

03/25/2011

New York, NY

Bar Association Dinner

Transportation, meals

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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.			
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.	Bank of America	Mortgage on [REDACTED] Rental Property - Cranford, NJ. See Part VII, Line 74. *	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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. Trust #1	C	Div & Int	M	T					
2. - Fidelity Ginnie Mae Fund	C		K	T					
3. - Fidelity N.J. Muni Money Market Fund	A		J	T					
4. IRA #1	B	Int./Div.	L	T					
5. - MS U.S. Govt. Securities Trust B	B	Int./Div.	L	T					
6. IRA #2	E	Div & Int	O	T					
7. - Rydex Invers. Govt. Long Bond (X)	A	Dividend	K	T					
8. - Vanguard Short Term Investor (X)	A	Dividend	K	T					
9. - Vanguard Fixed Income High Yield (X)	A	Dividend	K	T					
10. - Vanguard Div. App. Index (X)	A	Dividend	K	T					
11. - Vanguard Value Index (X)	A	Dividend	K	T					
12. - Ishares Russell Midcap Value Index (X)	A	Dividend	K	T					
13. - Ishares Russell 1000 Value Index (X)	A	Dividend	K	T					
14. - Fidelity Convertible Securities Fund	B	Dividend	K	T					
15. - Nasdaq 100 Trust Unit Stock	A	Dividend	K	T	Sold (part)	07/01/11	J		
16. - Fidelity Overseas Mutual Fund	A	Dividend	L	T	Sold (part)	05/09/11	J		
17. - Fidelity Puritan Mutual Fund	A	Dividend	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

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Falk, Mark

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18. - Fidelity Blue Chip Growth Mutual Fund	A	Dividend	K	T					
19. - Fidelity Cash Reserves	A	Interest	M	T					
20. - Fidelity US Bond Index	B	Dividend	K	T					
21. - Spartan Ext. MKT Index	A	Dividend	K	T					
22. - Spartan Intl. Index	A	Dividend	J	T					
23. - Spartan Intl. Treasury Bond	B	Dividend	J	T					
24. - Spartan 500 Index	B	Dividend	K	T	Sold (part)	08/31/11	J		
25. - Vanguard Inflation Protected SECs	B	Interest	M	T					
26. - Vanguard Small Cap Value Index	A	Dividend	K	T	Sold (part)	05/09/11	J		
27. - Fidelity Magellan Mutual Fund	A	Dividend	L	T	Sold (part)	02/11/11	K		
28.					Sold (part)	5/31/11	K		
29. - Fidelity Ginnie Mae Fund	A	Dividend	J	T	Sold (part)	05/10/11	J		
30. - Fidelity Growth & Income Mutual Fund	A	Dividend	J	T					
31. - Fidelity Intermediate Bond Mutual Fund	A	Dividend	J	T					
32. - Fidelity Retirement Govt. Money Market	A	Interest	J	T					
33. - Fidelity Short Term Bond	A	Interest	K	T					
34. - Vanguard Wellesley Inc.	A	Dividend	K	T	Open	05/09/11	J		

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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Falk, Mark

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35. - Doubleline Bond Fund	A	Dividend	K	T	Open	05/09/11	K		
36. IRA #3 *									
37. - Vanguard Total Stock Market Index Mutual Fund	A	Dividend	L	T					
38. Alcoa Common Stock	A	Dividend	J	T					
39. Coca Cola Common Stock	A	Dividend	J	T					
40. Eastman Kodak Common Stock	A	Dividend	J	T					
41. Brokerage Account #1	D	Int./Div.	M	T					
42. - Aegon Common Stock	A	Dividend	J	T					
43. - Alcoa Common Stock	A	Dividend	J	T					
44. - Alliant Tech System Common Stock	A	Dividend	J	T					
45. - American Electric Power Common Stock	A	Dividend	J	T					
46. - Eastman Chemical	A	Dividend	J	T					
47. - Eastman Kodak Common Stock	A	Dividend	J	T					
48. - Honeywell Int'l Common Stock	A	Dividend	J	T					
49. - IBM Common Stock	A	Dividend	J	T					
50. - Pactiv Corp. Common Stock	A	Dividend	J	T					
51. - Morgan Stanley Tax Free Daily Income Trust	A	Dividend	K	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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52. - Invesco Quality Municipal Income Trust	C	Dividend	K	T					
53. - Invesco Insured Municipal Income Trust	B	Dividend	L	T					
54. - InvescoTax Exempt Securities Trust D	C	Dividend	K	T					
55. SEP IRA - #4	A	Dividend	J	T					
56. - Phoenix Annuity	A	Dividend	J	T					
57. SEP Account 1	C	Dividend	N	T					
58. - Vanguard Total Stock Market Index Mutual Fund	C	Dividend	N	T	Buy	04/14/11	J		
59. - Vanguard Prime Money Market Fund	B	Interest	K	T					
60. Wells Fargo Bank Account 1 **	A	Interest	L	T					
61. Wells Fargo Bank Account 2 **	A	Interest	J	T					
62. Wells Fargo Account 3 **	A	Interest	J	T					
63. Bank of America Account 1	A	Interest	J	T					
64. Amboy Bank Account	A	Interest	J	T					
65. Fidelity NJ Muni Income	A	Dividend	J	T					
66. Fidelity NJ Muni Money Market	B	Interest	K	T					
67. Fidelity NJ Ginnie Mae	C	Dividend	L	T					
68. Fidelity Cash Reserves	A	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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69. Bank of America Account 2	A	Interest	J	T					
70. Bank of America Account 3	A	Interest	J	T					
71. Bank of America Account 4	A	Interest	K	T					
72. Vanguard Total Stock Market Index Mutual Fund	A	Dividend	K	T					
73. Sovereign Bank	A	Interest	J	T					
74. Rental Property #1 - Cranford, NJ (1996 - \$95,000)	C	Rent	M	R	Sold	08/22/11	M	F	
75. Hudson City Savings Bank (X)	A	Interest	L	T					
76. Fidelity Convertible Securities Fund	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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

* The property was sold on 8/22/11 and the mortgage was discharged. The sale proceeds were delivered to a Qualified Intermediary in anticipation of a Section 1031 like kind exchange, which never occurred. In 2012, proceeds were distributed into bank account, which will be reported in 2012 report.

** These are the bank accounts listed on prior reports as Wachovia. Apparently, Wachovia changed its name to Wells Fargo.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Falk, Mark

Date of Report

08/09/2012

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