

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) Conti, Joy Flowers	2. Court or Organization U.S. District Court WDPA	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 5250 US Courthouse 700 Grant Street Pittsburgh, PA 15219		
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. Counselor	W. Edward Sell American Inns of Court
2. At-Large Director	Federal Judges Association
3. Ex-Officio Member	Allegheny County Board of Directors
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.	
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. 2013	Ross, Sinclaire & Associates, LLC - Salary
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. New York Intellectual Property Law Association	March 22-23, 2013	New York, NY	NYIPLA Annual Federal Judges' Dinner	Food, Lodging, Transportation
2. Federal Judges Association	April 23-25, 2013	Washington, D.C.	Annual Meeting	Lodging, Transportation, Parking
3. The eDiscovery Retreats	April 30 - May 2, 2013	Half Moon Bay, CA	Carmel Valley eDiscovery	Food, Lodging, Transportation, Parking
4. The Sedona Conference	May 8-9, 2013	Washington, D.C.	Regional Conference on Patent Litigation	Food, Lodging, Transportation, Parking
5. Allegheny County Bar Association	June 20-21, 2013	Champion, PA	Allegheny County Bench Bar Conference	Food, Lodging, Conference Registration

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6.	American Antitrust Institute	August 22-24, 2013	Stanford, CA	Judicial Education	Food, Lodging, Transportation, Parking
7.	The Sedona Conference	September 18-20, 2013	Washington, D.C.	Patent Litigation Best Practices 2013 Annual Meeting	Food, Lodging, Transportation, Parking
8.	Exterro	September 23-25, 2013	Portland, OR	Exterro User Conference	Food, Lodging, Transportation, Parking
9.	Huron Legal Institute	September 30 - October 1, 2013	New York, NY	eDiscovery Advocacy Institute	Food, Lodging, Transportation, Parking
10.	Academy of Trial Lawyers of Allegheny County	October 2-4 2013	Farmington, PA	Annual Masters of Trial Advocacy Retreat	Food, Lodging, Conference Registration
11.	The Sedona Conference	October 9-11, 2013	Del Mar, CA	Annual Conference on Patent Litigation	Food, Lodging, Transportation, Conference Registration, Parking
12.	Law Society of Upper Canada	October 29-30, 2013	Toronto, Canada	eDiscovery Institute	Food, Lodging, Transportation, Parking
13.	Georgetown University	November 20-22, 2013	Washington, D.C.	Advanced eDiscovery	Food, Lodging, Transportation, Parking

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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.		
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.		
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. BROKERAGE ACCOUNT #1									
2. -Federated PA Muni Service (Money Market)	A	Dividend	J	T					
3. -Red Mountain Resource Inc Stock		None	K	T	Buy	09/23/13	K		
4. ROTH IRA ROLLOVER ACCOUNT #1 ACCOUNT #1	E	Int./Div.	M	T					
5. -Pershing Government Money Market Fund									
6. -General Motors Accep Corp Smartnotes (7.25% due 9/15/17)					Redeemed	08/15/13	K		
7. -Deere & Co Stock									
8. -General Motors Accep Corp Smartnotes (7% due 1/15/13)					Matured	01/15/13	K	A	
9. -Lee Street Investors LLC Class B Units									
10. -Sanchez Energy Corp Stock					Buy (add'l)	09/24/13	J		
11. -Boeing Co Stock					Sold	01/16/13	J		
12. -Prospect Cap Corp Stock									
13. -New York Mtg Tr Inc REIT					Sold	09/25/13	J		
14. -Newcastle Invt Corp (REIT)					Buy (add'l)	09/25/13	J		
15. -GDL Fund									
16. -Knox Cnty, KY Hospital Bond (5.875% due 12/01/36)					Buy	01/02/13	K		
17. -New Residential Invt Corp Stock					Spinoff (from line 14)	05/21/13	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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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)

18.					Buy (add'l)	09/25/13	J		
19. -TRC Companies Stock					Buy	06/28/13	J		
20. RETIREMENT PLAN #2	C	Int./Div.	N	T					
21. -CREF Stock Fund									
22. -TIAA Traditional Annuities									
23. -CREF Infl Linked Bond					Sold	07/12/13	K		
24. -Vanguard Inflat Pro Sec A					Sold	07/12/13	K		
25. -TC Intl Eq-Rtmt Fund					Buy	07/12/13	K		
26. -TC Small Cap Eq-Rtmt Fund					Buy	07/12/13	K		
27. -Vanguard Extended Mkt Index Fund					Buy	07/12/13	K		
28. -Vanguard REITIndex Signal Fund					Buy	07/12/13	K		
29. ROTH IRA ROLLOVER ACCOUNT #3	D	Int./Div.	M	T					
30. -Pershing Government Money Market Fund									
31. -Navidea Biopharmaceuticals Stock									
32. -Genl Mtrs Accep Corp Smartnotes (7% due 01/15/13)					Matured	01/15/13	L	A	
33. -Knox Cnty, KY Hosp Bond (5.875% due 12/01/36)									
34. -Lee Street Investors LLC Class B Units									

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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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35. -Sanchez Energy Corp Stock					Buy (add'l)	09/24/13	J		
36. -Caterpillar, Inc					Sold	06/24/13	K		
37. -Springfield OH Summit County Bond (6.125% due 9/01/40)					Buy	01/28/13	K		
38. -American Intl Group Stock					Buy	01/28/13	K		
39. -Boeing Co Stock					Buy	10/04/13	J		
40. -Viasat Inc Stock					Buy	08/19/13	J		
41. -Bethlehem PA Bond (6.6% due 12/01/26)					Buy	02/20/13	K		
42.					Redeemed	04/10/13	J		
43. IRA ROLLOVER ACCOUNT #6	A	Int./Div.	K	T					
44. -S&T Bancorp Stock									
45. -Janney Advantage Insured Sweep (Money Market)									
46. MELLON BANK: ACCOUNTS		None	J	T					
47. CITIZENS BANK: ACCOUNTS		None	J	T					
48. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					
49. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					
50. NORTHWESTERN: WHOLE LIFE INS POLICY		None	J	T					
51. METROPOLITAN LIFE: WHOLE LIFE POLICY		None	J	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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52. GENERAL AMERICAN: WHOLE LIFE POLICY		None	J	T					
53. MASSACHUSETTS MUTUAL: WHOLE LIFE POLICY		None	J	T					
54. METROPOLITAN LIFE: WHOLE LIFE POLICY		None	J	T					
55. NORTHWESTERN: WHOLE LIFE INS POLICY		None	J	T					
56. HUNTINGTON BANK ACCOUNT		None	K	T					
57. SIMPLE IRA ACCOUNT #1	B	Int./Div.	L	T					
58. -Pershing Government Money Market Fund									
59. -Caterpillar Inc Stock					Sold	11/05/13	K		
60. -Nuance Communications Inc Stock									
61. -Prospect Cap Corp Stock									
62. -American Intl Group Inc Stock					Buy	08/09/13	K		
63. -Newcastle Invst Corp Stock					Buy	12/27/13	K		
64. BROKERAGE ACCOUNT #2									
65. -Federated PA Muni Cash (Money Market)	A	Dividend	K	T					
66. -Pa St Fin Auth Rev Rfdg Penn Hills Bond (0% due 12/1/23)		None	J	T					
67. -Harmony Twp Pa Bond (0% due 9/1/13)		None			Sold (part)	06/12/13	K	A	
68.					Matured	09/01/13	K	A	

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69. -Canonsburg-Houston Pa Sewer Bond (3.55% due 12/1/14)	A	Interest	K	T					
70. -Cambria Cnty Pa IDA Bond (4% due 10/1/22)	B	Interest	K	T					
71. -Pa St Higher Educ Facs Bond (5.125% due 4/01/33)	A	Interest	K	T	Buy	08/28/13	K		
72. ROTH IRA ROLLOVER ACCOUNT #7 (new account in 2013)		None	K	T					
73. -Safe-T-Shade LLC					Buy	06/25/13	K		
74. SEVENTH STREET INVESTMENT LP		None	K	T	Buy	06/06/13	K		
75.					Buy (add'l)	11/11/13	J		
76. AMG CELEBRATIONS		None	J	T	Buy	05/01/13	J		

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

Additional Information for Part VII (Investments and Trusts):

From prior years:

There is no Retirement Plan # 1

There is no IRA Rollover/Roth IRA Rollover Account # 2, 4 or 5

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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/ Joy Flowers Conti

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