

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 12/27/2017
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 01/01/2016 to 12/31/2016
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.	Co-Executor	Estate #1
2.	Trustee	Trust #1
3.	Co-Trustee	Family Trust #2
4.	Co-Trustee	Living Trust #3
5.	Co-Trustee	GST Trust #4
6.	Co-Trustee	GST Trust #5
7.	Power of Attorney	Relative
8.	Treasurer	Federal Magistrate Judges Association
9.	Adjunct Professor	Rugters School of Law
10.	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.	

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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. 2016	Trustee Commission from Falk Living Trust #1	\$9,317.72
2. 2016	Fordham Law School-teaching	\$1,638.00
3. 2016	Rutgers Law School-teaching	\$2,500.00
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. 2016	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.	Federal Magistrate Judges Association	09/14/16 - 09/16/16	Washington, DC	Executive Board Meetings	Transportation, Lodging
2.	Federal Magistrate Judges Association	02/21/16 - -2/23/16	Washington, DC	Executive Board Meetings	Transportation, Lodging
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Trust #1 (H)									
2. Fidelity Ginnie Mae Fund	A	Int./Div.	J	T					
3. Fidelity N.J. Muni Money Market Fund	A	Int./Div.	K	T					
4. Fidelity Floating Rate	A	Int./Div.	J	T					
5. Fidelity Cash Reserves	A	Int./Div.	L	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	J	T					
10. -Vanguard Short Term Investors	A	Interest	K	T					
11. -Vanguard Fixed Income High Yield	B	Interest	K	T	Redeemed (part)	02/19/16	J		
12. -Vanguard Div. App. Index	A	Dividend	K	T	Redeemed (part)	02/19/16	K	D	
13. -Vanguard Value Index	A	Dividend	K	T					
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	B	Dividend	K	T					
17. -Nasdaq 100 Trust Unit Stock	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 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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18. -Fidelity Overseas Mutual Fund	A	Dividend	K	T					
19. -Fidelity Puritan Mutual Fund	A	Dividend	J	T					
20. -Fidelity Blue Chip Growth Mutual Fund	A	Dividend	J	T	Redeemed (part)	12/21/16	J		
21. -Fidelity Cash Reserves	A	Interest	N	T					
22. -Fidelity US Bond Index	A	Dividend	K	T					
23. -Fidelity Ext. MKT Index Premium Class*	A	Dividend	J	T					
24. -Fidelity Intl. Index Premium Class*	A	Dividend	K	T					
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	B	Interest	K	T					
28. -Vanguard Small Cap Value Index	A	Dividend	K	T					
29. -Fidelity Magellan Mutual Fund	A	Dividend	K	T					
30. -Fidelity Ginnie Mae Fund	A	Dividend	J	T					
31. -Fidelity Growth & Income Mutual Fund	A	Dividend	K	T					
32. -Fidelity Intermediate Bond Mutual Fund	A	Interest	J	T					
33. -Fidelity Retirement Govt. Money Market	A	Interest	J	T					
34. -Fidelity Short Term Bond	A	Interest	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Vanguard Wellesley Inc.	A	Dividend	K	T					
36. -Doubleline Bond Fund	A	Dividend	K	T					
37. -Ishares Silver	A	Interest	J	T					
38. -Ishares China ETF	A	Interest	J	T					
39. -Pro Shares Short Dow	A	Interest	K	T					
40. -Pro Shares Ultrashort Russell 2000**	A	Interest	J	T					
41. -Pro Shares Ultra Short Cap	A	Interest	J	T					
42. -Pro Shares Short S&P 500	A	Interest	L	T					
43. -Pro Shares Short QQQ	A	Interest	K	T					
44. -Fidelity Floating Rate High Income***	B	Interest	K	T					
45. IRA #3 (H)									
46. -Vanguard Total Stock Market Index Mutual Fund	B	Dividend	L	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	Dividend			Redeemed	04/12/16	N		
51. -Apple	A	Dividend			Sold	3/31/16	J		

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52. -Invesco Muni Income Y	A	Dividend			Sold	03/31/16	L	A	
53. -Morgan Stanley Bank	A	Interest	J	T	Open	4/12/16	J		
54. -PIMCO Short Term P	A	Dividend	L	T	Buy	4/4/16	L		
55.					Buy	04/06/16	J		
56. -Western Ast Int Term Muni I	B	Dividend	L	T	Buy	04/06/16	L		
57.					Buy	4/06/16	J		
58. -Wells Fargo St Muni Bd INS	A	Dividend	L	T	Buy	04/04/16	L		
59.					Buy	04/06/16	J		
60. -SPDR Nuveen Barclays Mun ETF	A	Dividend	K	T	Buy	04/04/16	K		
61.					Buy	04/06/16	J		
62. -SPDR Nuveen Barclays Short ETF	A	Dividend	K	T	Buy	04/04/16	K		
63.					Buy	04/06/16	J		
64. -ISHARES Russell 1000 GRW ETF	A	Dividend	J	T	Buy	04/04/16	K		
65.					Sold (part)	04/06/16	J		
66.					Sold (part)	09/21/16	J	A	
67. -Deutsche X-Trackers MSCI EAF	A	Distribution	K	T	Buy	04/04/16	K		
68.					Buy	04/05/16	J		

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69.					Sold (part)	04/16/16	J		
70. -E V Income Fund of Boston I	B	Dividend	K	T	Buy	04/04/16	J		
71.					Buy	04/06/16	J		
72. -Cambiar INTL Equity INV	A	Dividend	J	T	Buy	04/04/16	J		
73.					Buy	04/06/16	J		
74.					Sold (part)	09/21/16	J	A	
75. -ISHARES Russell 1000 Value ETF	A	Dividend	J	T	Buy	04/04/16	J		
76.					Sold (part)	04/06/16	J		
77.					Sold (part)	06/29/16	J	A	
78. -PIMCO Foreign BD US \$ Hedged P	A	Dividend	J	T	Buy	04/04/16	J		
79.					Sold (part)	04/06/16	J		
80. -Wells Fargo Emerg Mrk EQ Inc.	A	Dividend	J	T	Buy	04/06/16	J		
81.					Buy	04/04/16	J		
82. -Delaware Value INSTL	A	Dividend	J	T	Buy	04/04/16	J		
83.					Buy	04/06/16	J		
84.					Buy	06/29/16	J		
85.					Sold (part)	09/21/16	J	A	

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86. -ISHARES RUSSELL 2000 Growth ETF	A	Dividend			Buy	04/04/16	J		
87.					Sold	09/21/16	J	A	
88. -ISHARES RUSSELL 2000 Value ETF	A	Dividend	J	T	Buy	04/04/16	J		
89.					Buy	04/05/16	J		
90.					Sold (part)	06/29/16	J	A	
91. -Wells Fargo Special MDCP VL AD	A	Dividend			Buy	04/04/16	J		
92.					Buy	04/06/16	J		
93.					Sold	09/21/16	J	A	
94. -Hartford Midcap I	A	Dividend			Buy	04/04/16	J		
95.					Buy	04/06/16	J		
96.					Buy	06/29/16	J		
97.					Sold	09/21/16	J	A	
98. -ISHARES RUSSELL Midcap V ETF	A	Dividend	J	T	Buy	04/04/16	J		
99.					Buy	04/05/16	J		
100. -ISHARES RUSSELL Midcap G ETF	A	Dividend	J	T	Buy	04/04/16	J		
101.					Sold (part)	06/29/16	J		
102. -Delware Inv Sm Cap Val INST	A	Dividend	J	T	Buy	06/29/16	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
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103. -Edgewood Growth Instl	A	Dividend	J	T	Buy	09/21/16	J		
104. -Harding Loevner Intl EQTY INSTL	A	Dividend	J	T	Buy	09/21/16	J		
105. -T. Rowe Price QM US	A	Dividend	J	T	Buy	09/21/16	J		
106. IRA #4-Phoenix Variable Annuity (H)	A	Int./Div.	J	T					
107. -Virtus Capital Growth	A	Int./Div.	J	T					
108. -Virtus Strat Alloc	A	Int./Div.	J	T					
109. -Virtus International	A	Int./Div.	J	T					
110. -Wanger USA	A	Int./Div.	J	T					
111. -Wagner International	A	Int./Div.	J	T					
112. -Federated Prime Money Market	A	Int./Div.	J	T					
113. SEP Account 1 (H)									
114. -Vanguard Total Stock Market Index Mutual Fund	E	Dividend	O	T	Buy	04/14/16	K		
115. -Vanguard Prime Money Market Fund	B	Interest	L	T					
116. Wells Fargo Bank Account 1	B	Interest	L	T					
117. Wells Fargo Bank Account 2	B	Interest	N	T					
118. Wells Fargo Bank Account 3	A	Interest	J	T					
119. Bank of America Account 1	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	
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)
120. Amboy Bank Account	A	Interest	J	T					
121. Investment Account #2 (H)									
122. -Fidelity NJ Muni Money Market	A	Interest	J	T					
123. -Fidelity Floating Rate	A	Dividend	J	T					
124. -Fidelity GNMA Fund	A	Dividend	J	T					
125. -Fidelity Cash Reserve	A	Interest	K	T					
126. -Fidelity Convertible Securities	B	Dividend	K	T					
127. Bank of America Account 2	A	Interest	J	T					
128. Bank of America Account 3	A	Interest	J	T					
129. Bank of America Account 4	B	Interest	L	T					
130. Santander	A	Interest	J	T					
131. Investment Account #3 (H)									
132. -Vanguard Growth & Income	A	Dividend	K	T					
133. -Vanguard Healthcare	B	Dividend	L	T					
134. -Vanguard Inter-Tax Exempt	B	Dividend	J	T	Sold (part)	12/27/16	K	B	
135. -Vanguard Prime Mkt Fund	A	Dividend	M	T					
136. -Vanguard Total Stk Mk.	A	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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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)
137. -Vanguard 500 Index	B	Dividend	L	T	Sold (part)	12/27/16	K	E	
138. Investment Account #4 (H)									
139. -Charles Schwab Cash Account****	A	Interest	L	T					
140. -General Electric	A	Dividend			Sold	07/25/16	J	A	
141. -Halliburton	A	Dividend			Sold	07/25/16	L	B	
142. Investment Account #5 (H)									
143. Charles Schwab Cash Account****	A	Interest	M	T					
144. -Chevron Corp	A	Dividend			Sold (part)	03/03/16	K	D	
145.					Sold (part)	07/25/16	J	C	
146. -Eastman Chemical		Dividend			Sold (part)	03/03/16	K	D	
147.					Sold (part)	07/25/16	J	B	
148. -Fidelity NY Muni Income	A	Dividend	K	T					
149. -IBM	B	Dividend			Sold (part)	03/03/16	M	E	
150.					Sold (part)	07/25/16	K	D	
151. -USAA Tax Exempt	A	Dividend	K	T					
152. IRA #5 (H)									
153. -AB Weath Appreciation	A	Dividend	K	T	Sold (part)	12/23/16	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)
154.					Distributed (part)	12/27/16	J		RMD Distribution
155. Trust #5 (H)									
156. -Morgan Stanley Bank Cash (X)	A	Interest	N	T	Open	11/22/16	N		From Trust #3
157. Trust #4 (H)									
158. -Chase Checking (X)	A	Interest	N	T	Open	11/22/16	N		From Trust #3
159. Estate #1 (H)									
160. -Chase Checking (X)	A	Interest	K	T					
161. -Ally Bank CD (X)	A	Interest			Redeemed	07/01/16	J		to Estate #1 Bank Acct
162. Trust #2 (H)									
163. -Santander Money Market	A	Interest			Distributed	04/25/16	L		to Trust #2 Beneficiary
164. -Santander Money Market	A	Interest			Distributed	04/25/16	K		to Trust #2 Beneficiary
165. Trust #3 (H)									
166. -Chase Checking	A	Interest	M	T	Distributed (part)	11/22/16	N		to Trust #4
167. -Chase Savings	A	Interest	J	T	Distributed (part)	11/22/16	M		to Trust #3
168. -Franklin Templeton Funds New York T/F Inc FD INC	A	Dividend			Sold	07/12/16	K	A	cash to Trust #3 Chase
169. -New York NY GO BDS SUBSER GO	A	Dividend			Sold	07/13/16	K	A	cash to Trust #3 Chase
170. -JP Morgan Deposit Sweep	A	Interest			Distributed	07/14/16	J		cash to Trust #3 Chase

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 \$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	

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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)
171. -AB Large Cap Growth Fund-ADV	A	Dividend			Sold	02/22/16	K	A	cash to Trust #3 Chase
172. -Bernstein Tax Managed	A	Dividend			Sold	05/31/16	K	A	cash to Trust #3 Chase
173. -AB Concentrated Growth Fund Advisor Class	A	Dividend			Buy	02/22/16	J		
174. -AB Concentrated Growth Fund Advisor Class	A	Dividend			Sold	7/13/16	J	A	cash to Trust #3 Chase
175. -AB Discovery Growth Fund-Adv	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
176. -AB Discovery Value Fund-Adv	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
177. -AB Global Thematic Growth Fund Advisor Cl	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
178. -AB International Small Cap Portfolio	A	Dividend			Buy	02/22/16	J		
179. -AB International Growth Fund Advisor Cl (X)	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
180. -AB Small Cap Core Portfolio Adv Cl	A	Dividend			Buy	03/07/16	J		
181. -AB Small Cap Core Portfolio Adv Cl	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
182. -AllianceBernstein GL Core-AD	A	Dividend			Buy	02/22/16	J		
183. -AllianceBernstein GL Core-AD	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
184. -Bernstein Emerging Markets	A	Dividend			Sold	07/13/16	J	A	cash to Trust #3 Chase
185. -Bernstein Tax-Aware Overlay A Portfolio	A	Dividend			Sold	07/13/16	L	A	cash to Trust #3 Chase
186. -Bernstein Tax-Aware Overlay N Portfolio	A	Dividend			Sold	07/13/16	L	A	cash to Trust #3 Chase
187. -Bernstein New York	A	Dividend			Sold	07/19/16	M	C	cash to Trust #3 Chase

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		

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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.)

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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)
188. -AB Value Fund	A	Dividend			Sold	07/13/16	K	A	cash to Trust #3 Chase
189. -AB Portfolios ABTXMG WLT ADV	A	Dividend			Sold	07/14/16	J	A	cash to Trust #3 Chase
190. -Astoria Financial Corp.	A	Dividend			Sold	09/21/16	K	A	cash to Trust #3 Chase
191. -Goldman Sachs Group Inc.	A	Dividend			Sold	09/21/16	K	A	cash to Trust #3 Chase
192. -RBC U.S. Govt Money Market Fund	A	Interest			Distributed	09/21/16	L		cash to Trust #3 Chase
193. -Vanguard Inter-Term Tax-Exempt Inv	A	Dividend			Sold	07/12/16	K	B	cash to Trust #3 Chase
194. -Vanguard Windsor II Fund Inv	A	Dividend			Sold	07/12/16	K	A	cash to Trust #3 Chase
195. -Vanguard 500 Index Fund Adm	A	Dividend			Sold	07/12/16	K	B	cash to Trust #3 Chase
196. -General Electric Stock	C	Dividend			Sold	07/25/16	M	E	cash to Trust #3 Chase
197. -Chevron Stock	C	Dividend			Sold	07/13/16	M	D	cash to Trust #3 Chase
198. -IBM Stock (X)	A	Dividend			Sold	10/25/16	J	A	cash to Trust #5
199. -Whirlpool Stock (X)	A	Dividend			Sold	10/25/16	K	A	cash to Trust #5
200. -Center Coast MLP Focus C	A	Distribution			Sold	07/12/16	J	A	cash to Trust #5
201. -Columbia High Yield Bond C	A	Dividend			Sold	07/12/16	J	A	cash to Trust #5
202. -Illinois Tool Works Stock	A	Dividend			Sold	07/12/16	J	A	cash to Trust #5
203. - Wells Fargo BK N.A.	A	Int./Div.			Sold	06/28/16	J	A	cash to Trust #5
204. -American Electric Power Stock (X)	A	Dividend			Sold	10/25/16	L	A	cash to Trust #5

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		

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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)
205. -BAC CAP TR VIII	A	Interest			Sold	07/12/16	J	A	cash to Trust #5
206. -Corts TR AON CAP	A	Interest			Sold	07/12/16	J	B	cash to Trust #5
207. -Countrywide CAP V 7000	A	Interest			Sold	07/12/16	J	A	cash to Trust #5
208. -East Hampton Town BE 5000	A	Interest			Sold	07/12/16	K	B	cash to Trust #5
209. -Goldman Sachs 5250	A	Interest			Sold	07/12/16	J	A	cash to Trust #5
210. -Goldman Sachs CD 2800	A	Interest			Sold	07/12/16	J	A	cash to Trust #5
211. -Goldman Sachs CD 3100	A	Interest			Sold	06/06/16	J	A	cash to Trust #5
212. -Morgan Stanley 5500	A	Interest			Sold	07/12/16	J	B	cash to Trust #5
213. -NYS DA REVS-B	A	Interest			Sold	07/12/16	K	B	cash to Trust #5
214. -NYS TWY HWY-A	A	Interest			Sold	04/01/16	J	A	cash to Trust #5
215. -1st Financial Bank CD	A	Interest			Sold	07/12/16	K	A	cash to Trust #5
216. -Morgan Stanley Bank N.A. (X)	A	Interest			Distributed	11/22/16	K		to Trust #5
217. Relative Power of Attorney (H)									
218. -Chase Checking (X)	A	Interest	J	T					
219.									
220.									

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	
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3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

*Spartan items under IRA #3 are actually known on Fidelity statement as Fidelity not Spartan in 2016

Trust #2 closed out completely in 2016

Trust #3 all securities and assets were liquidated only Chase Checking and Chase Savings Account remains at the end of 2016

Trust #4 and Trust #5 established at the end of 2016

I reported the death of a relative on my 2015 report and my service as a co-trustee, co-executor. Much of this report was prepared with the assistance and reliance upon the Attorney for my relative's estate and trusts, for which I served as co-executor and co-trustee. The attorney had the records and largely coordinated the distribution of trust and estate assets. We believe the information is accurate and complete. However, this is an ongoing process and if any minor inaccuracies are discovered, I will report them on my next annual report.

**This entry was incorrectly titled. It is properly called the Proshares Ultrashort Russell 2000 which was listed on the 2016 report at Line 41.

***It appears that this entry was erroneously not included in my 2015 report. The information provided is correct. If further information is required, I believe same can be provided.

****These entries reflect cash accounts. They were erroneously listed as money market funds. Charles Schwab has confirmed that they are in fact cash accounts.

Explanation for listing Fidelity Convertible Securities on Line 46 of 2015 Amended Report. This fund is held in two accounts and I believe is correctly reported on Lines 16 and 126 of my 2016 Report. If further information is required, please advise.

Explanation for Fidelity New Jersey Municipal Income Fund listed on Line 85 of the 2015 Amended Report. I am still researching this apparent inconsistency. I believe it may relate to how the fund was titled.

Explanation for Vanguard Total Stock Market Index Mutual Fund listed on Line 129 of the 2015 Amended Report. This fund is held in several accounts. I believe it is reflected as Entry 136 on my 2016 Report.

Explanation for "BDS - Subser Go Bond," and "Bernstein Sanford C Fund Inc." listed on Lines 129 and 153 in the Amended 2015 Report and apparently not listed in the 2016 Report. As noted in both the 2015 and 2016 Reports, as a result of the complexity of handling and distributing the assets of my relative's estate and trusts, I engaged the services of an attorney, who as reported previously provided much of the information used in completing these reports. Unfortunately, near the end of 2016, the attorney left the estate practice and much of the information became difficult to access. These assets were part of my relative's estate, all of which was distributed at the time my attorney ceased the practice. I am fairly certain that these assets were not held by me or the estate or trusts at the end of 2016. I am attempting to figure out precisely when these assets were distributed. However, it has been very difficult without the assistance of the attorney who handled it. I apologize for the confusion and will continue my efforts to provide the details.

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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/ **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