

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) Falk, Mark	2. Court or Organization US District Court-New Jersey	3. Date of Report 08/12/2014
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 01/01/2013 to 12/31/2013
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.		

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.	

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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	Fordham Law School - teaching	\$2,500.02
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	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. New York Intellectual Property Law Association	03/22/2013	New York, NY	Bar Association Dinner	Transportation, lodging, meals
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.)*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	B	Int./Div.	M	T					
2. - Fidelity Ginnie Mae Fund	B		J	T	Redeemed (part)	07/03/13	L	D	
3.					Redeemed (part)	07/15/13	L	D	
4. - Fidelity N.J. Muni Money Market Fund	A		K	T	Redeemed (part)	07/03/13	L		
5. - Fidelity Floating Rate	A		J	T	Buy	07/15/13	J		
6. - Fidelity Cash Reserves	A		L	T	Buy	07/03/13	L		
7. IRA #1	B	Int./Div.	L	T					
8. - MS U.S. Govt. Securities Trust B	B	Int./Div.	L	T					
9. IRA #2	E	Div & Int	P1	T					
10. - Rydex Invers. Govt. Long Bond	A	Dividend	K	T					
11. - Vanguard Short Term Investor	A	Dividend	K	T					
12. - Vanguard Fixed Income High Yield	B	Dividend	K	T					
13. - Vanguard Div. App. Index	A	Dividend	K	T					
14. - Vanguard Value Index	A	Dividend	K	T	Redeemed (part)	07/15/13	J		
15. - Ishares Russell Midcap Value Index	A	Dividend	K	T					
16. - Ishares Russell 1000 Value Index	A	Dividend	K	T	Redeemed (part)	10/22/13	K		
17. - Fidelity Convertible Securities Fund	B	Dividend	K	T					

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)

18. - Nasdaq 100 Trust Unit Stock	A	Dividend	K	T	Redeemed (part)	03/05/13	J		
19.					Redeemed (part)	03/08/13	J		
20.					Redeemed (part)	07/18/13	J		
21. - Fidelity Overseas Mutual Fund	A	Dividend	K	T	Redeemed (part)	05/14/13	J		
22. - Fidelity Puritan Mutual Fund	B	Dividend	K	T					
23. - Fidelity Blue Chip Growth Mutual Fund	B	Dividend	K	T	Redeemed (part)	05/14/13	J		
24. - Fidelity Cash Reserves	A	Interest	N	T					
25. - Fidelity US Bond Index	A	Dividend	J	T					
26. - Spartan Ext. MKT Index	A	Dividend	K	T	Redeemed (part)	03/06/13	J		
27. - Spartan Intl. Index	A	Dividend	K	T					
28. - Spartan Intl. Treasury Bond	A	Dividend	J	T					
29. - Spartan 500 Index	A	Dividend	K	T	Redeemed (part)	02/12/13	K		
30. - Vanguard Inflation Protected SEC's	B	Interest	K	T	Redeemed (part)	06/11/13	K		
31.					Redeemed (part)	07/15/13	L		
32. - Vanguard Small Cap Value Index	A	Dividend	K	T	Redeemed (part)	05/13/13	K		
33. - Fidelity Magellan Mutual Fund	B	Dividend	K	T	Redeemed (part)	05/14/13	K		
34. - Fidelity Ginnie Mae Fund	A	Dividend	J	T	Redeemed (part)	06/12/13	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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35. - Fidelity Growth & Income Mutual Fund	A	Dividend	J	T	Redeemed (part)	07/15/13	J		
36. - Fidelity Intermediate Bond Mutual Fund	A	Dividend	J	T					
37. - Fidelity Retirement Govt. Money Market	A	Interest	J	T					
38. - Fidelity Short Term Bond	A	Interest	J	T	Redeemed (part)	06/12/13	J		
39. - Vanguard Wellesley Inc.	B	Dividend	K	T					
40. - Doubleline Bond Fund	B	Dividend	K	T					
41. - Ishares Silver (X)	A	Interest	J	T	Buy	07/29/13	J		
42. - Ishares China ETF (X)	A	Interest	J	T	Buy	07/29/13	J		
43. - Pro Shares Ultra Short Russell 2000 (X)	A	Interest	J	T	Buy	09/17/13	K		
44. - Pro Shares Short Dow (X)	A	Interest	J	T	Buy	08/15/13	J		
45. IRA #3	B	Interest	J	T					
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. Eastman Kodak Common Stock	A	Dividend	J	T					
50. Brokerage Account #1	D	Int./Div.	M	T					
51. - Aegon Common 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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52. - Alcoa Common Stock	A	Dividend	J	T					
53. - Alliant Tech System Common Stock	A	Dividend	J	T					
54. - American Electric Power Common Stock	A	Dividend	J	T					
55. - Eastman Chemical	A	Dividend	J	T					
56. - Eastman Kodak Common Stock	A	Dividend	J	T					
57. - Honeywell Int'l Common Stock	A	Dividend	K	T					
58. - IBM Common Stock	A	Dividend	K	T					
59. - Pactiv Corp. Common Stock	A	Dividend	J	T					
60. - Morgan Stanley Tax Free Daily Income Trust	A	Dividend	K	T					
61. - Invesco Quality Municipal Income Trust	C	Dividend	K	T					
62. - Invesco Insured Municipal Income Trust	C	Dividend	L	T					
63. - InvescoTax Exempt Securities Trust D	C	Dividend	K	T					
64. SEP IRA - #4	A	Dividend	J	T					
65. - Phoenix Annuity	A	Dividend	J	T					
66. SEP Account 1	D	Interest	O	T					
67. - Vanguard Total Stock Market Index Mutual Fund	D	Dividend	O	T	Buy	04/12/13	K		
68. - Vanguard Prime Money Market Fund	B	Interest	L	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
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69. Wells Fargo Bank Account 1	B	Interest	M	T					
70. Wells Fargo Bank Account 2	B	Interest	L	T					
71. Wells Fargo Account 3	A	Interest	J	T					
72. Bank of America Account 1	A	Interest	J	T					
73. Amboy Bank Account	A	Interest	J	T					
74. Fidelity NJ Muni Income	A	Dividend	J	T					
75. Fidelity NJ Muni Money Market	B	Interest	J	T					
76. Fidelity Floating Rate	A	Interest	J	T	Buy	07/15/13	J		
77. Fidelity Ginnie Mae	A	Dividend	J	T	Redeemed (part)	06/27/13	L		
78.					Redeemed (part)	07/15/13	J		
79. Fidelity Cash Reserves	A	Dividend	L	T	Buy	06/27/13	L		
80. Bank of America Account 2	A	Interest	J	T					
81. Bank of America Account 3	A	Interest	J	T					
82. Bank of America Account 4	A	Interest	L	T					
83. Vanguard Total Stock Market Index Mutual Fund	A	Dividend	L	T					
84. Santander *	A	Interest	J	T					
85. Fidelity Convertible Securities Fund	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
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86. Vanguard Growth & Income	A	Dividend	K	T					
87. Vanguard Healthcare	B	Dividend	L	T					
88. Vanguard Inter-Tax Exempt	B	Dividend	K	T					
89. Vanguard Prime Mkt Fund	A	Dividend	K	T					
90. Vanguard Total Stk. Mk.	A	Dividend	K	T					
91. Vanguard 500 Index	B	Dividend	L	T					
92. Charles Schwab Money Market (X)	A	Interest	J	T	Open	03/11/13	J		
93. Brokerage Account 2 Charles Schwab (X)	A	Dividend	M	T		03/18/13			
94. - General Electric (X)	A	Dividend	K	T		03/18/13			
95. - Halliburton (X)	B	Dividend	L	T		03/18/13			

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

- * Sovereign Bank apparently changed their name to Santander Bank.

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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