

# SUPREME COURT OF PENNSYLVANIA

## STATEMENT OF FINANCIAL INTEREST

### Judicial Officers

All Statements of Financial Interest filed shall be made available for public inspection and copying during regular office hours.  
See In Re: Financial Disclosure and Reporting Requirements for Judicial Officers, No. 442 Jud. Admin. Docket (February 6, 2015).

#### Part A

**INSTRUCTIONS:** Complete entire form. Please type or print. Attach additional 8 1/2" x 11" sheets if necessary and indicate each item by number.

**1** Last Name First Name Middle Initial **2** County Name (OFFICE ONLY)

**3** Street Address (OFFICE ONLY)

**4** City State Zip Code Telephone (OFFICE ONLY)  
( )

#### **5** Judicial Officers

Supreme	<input type="checkbox"/>	Philadelphia Municipal Court	<input type="checkbox"/>	Senior Judge	<input type="checkbox"/>	Judicial Dist. No.
Superior	<input type="checkbox"/>	Philadelphia Municipal Court, Traffic Division	<input type="checkbox"/>	Senior Magisterial District Judge	<input type="checkbox"/>	
Commonwealth	<input type="checkbox"/>	Magisterial District Judge	<input type="checkbox"/>			Magisterial Dist. No.
Common Pleas	<input type="checkbox"/>					

**6** REAL ESTATE INTERESTS: IF NONE, check this box.

**7** GIFTS, LOANS, BEQUESTS, BENEFITS, OR OTHER THINGS OF VALUE: IF NONE, check this box.

Source Date Description Value

**8** CREDITORS: IF NONE, check this box.

Creditor Address Interest Rate

**9** (A) EXTRAJUDICIAL COMPENSATION: IF NONE, check this box.

Source Date Nature of Activity Amount

(B) OTHER DIRECT AND INDIRECT SOURCES OF INCOME: IF NONE, check this box.

Source Address

**10** REIMBURSEMENT OF EXPENSES AND WAIVER OF FEES OR CHARGES: IF NONE, check this box.

Source Date Description of Reimbursement or Waiver Amount

**11** OFFICE OR DIRECTORSHIP OR EMPLOYMENT IN ANY BUSINESS ENTITY: IF NONE, check this box.

Business Entity Position Held

**12** FINANCIAL INTEREST IN ANY LEGAL ENTITY IN BUSINESS FOR PROFIT: IF NONE, check this box.

Name and Address of Business Interest Held

**13** BUSINESS INTEREST TRANSFERRED TO IMMEDIATE FAMILY MEMBER: IF NONE, check this box.

Business (Name and Address): Interest Held:  
Transferee (Name and Address): Relationship:  
Date Transferred:

**This form must be COMPLETED, SIGNED AND DATED in order to be accepted.**

Information represents disclosure for the calendar year 20\_\_\_\_.

\*Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**SUPREME COURT OF PENNSYLVANIA**  
**STATEMENT OF FINANCIAL INTEREST**

**Part B**

**Verification of Legal Residence**

Information provided in this section is subject to the same disclosure requirements as Responses 1 through 13 except that this information shall not be available to the public.

NAME (please print)	COUNTY OF RESIDENCE	
STREET ADDRESS	APT. NO.	
CITY	STATE	ZIP CODE
*Signature:	Date:	

\*Please note that your signature is required on Parts A and B of this form.

**SUPREME COURT OF PENNSYLVANIA  
STATEMENT OF FINANCIAL INTEREST  
INSTRUCTIONS**

By Order of the Supreme Court of Pennsylvania of February 6, 2015, No. 442, Judicial Administration Docket, all judicial officers must file a Statement of Financial Interest in accordance therewith.

**Who Must File:**

This form must be completed and filed by:

- (1) All Supreme Court Justices
- (2) All Superior Court Judges
- (3) All Commonwealth Court Judges
- (4) All Common Pleas Court Judges
- (5) All Judges of the Municipal Court of Philadelphia
- (6) All Magisterial District Judges
- (7) All Senior Judges and Senior Magisterial District Judges who are active or eligible for recall to judicial service.

**When to File:**

- (1) All judicial officers shall file a Statement of Financial Interest for the prior calendar year no later than May 1 of each year.
- (2) All judicial officers who are appointed to office shall file a Statement of Financial Interest within 60 days of assuming office.
- (3) All judicial officers who leave their position shall file a Statement of Financial Interest within 60 days of their departure for any period of service not covered by a previously filed statement. This requirement does not apply to judicial officers who are certified as senior jurists within that period of time.

**Where to File:**

Each Statement of Financial Interest is to be filed with the Administrative Office of Pennsylvania Courts.

**What to File:**

Original to be filed; copy to be retained for judicial officer's records.

**Failure to File; Falsification of Information:**

- (1) Upon failure to file the required statement within the time allowed, the AOPC shall give notice to such judicial officer that failure to comply within 10 days may result in the judicial officer's suspension from duties.
- (2) If the judicial officer fails to file the required statement within the 10-day period, the AOPC shall immediately notify the Chief Justice of Pennsylvania and the Judicial Conduct Board of the delinquency in filing.
- (3) The knowing and willful falsification of any information required to be reported, or the knowing and willful failure to report the required information, may result in the suspension of the judicial officer from his or her duties and shall constitute a charge of misconduct and result in referral of the case to the Judicial Conduct Board for disposition.

**SUPPLEMENTAL INSTRUCTIONS  
PART A**

**Items 1 through 5: Self explanatory**

**Items 6 through 13: GENERAL INSTRUCTIONS:** Dollar amounts are required to be reported in Items 7, 9(A) and 10. Do not report any investments or other financial interests that were in a blind trust or similarly protective financial vehicle for the entire reporting period. (Rule 3.11, Comment [2]). Words or phrases marked with an asterisk (“\*”) are defined in the Terminology section of the Code of Judicial Conduct and the Rules Governing Standards of Conduct of Magisterial District Judges; relevant citations to the rules are also included.

*NOTE: Items 6, 7, 8, 9(B), 11 and 12 must include information for a spouse or domestic partner\* (who lived in the household during the reporting period) AND dependent children (person under 18 years of age who lived in the household at any time during the reporting period and was claimed as a dependent on the judicial officer's federal income tax return).*

Questions regarding ethical rules and reporting requirements should be directed to the Ethics Committee of the Pennsylvania Conference of State Trial Judges or the Ethics and Professionalism Committee of the Special Court Judges Association of Pennsylvania, as appropriate. See Preamble ¶ 8, Code of Judicial Conduct and Rules Governing Standards of Conduct of Magisterial District Judges.

**6 REAL ESTATE INTERESTS:** List the names and addresses of any direct or indirect interests in real estate as follows: Any Real Estate Interests in property which was sold or leased to, purchased or leased from, or which was the subject of condemnation proceedings by the Commonwealth, its agencies, or any political subdivisions. **DO NOT list Real Estate Interests such as home mortgages.**

**7 GIFTS, LOANS, BEQUESTS, BENEFITS, OR OTHER THINGS OF VALUE:** List the source, date of acceptance, description, and value of any gifts, loans, bequests, benefits or other things of value of more than \$250, alone or in the aggregate, from the same source in the same calendar year. Gifts are defined as anything which is received without consideration of equal or greater value.

Include gifts incident to a public testimonial, Rule 3.13(C)(1), and invitations to the judge, judge's spouse, domestic partner\* or guest to attend without charge:

- 1.) an event associated with a bar-related function or other activity relating to the law, the legal system, or the administration of justice, Rule 3.13(C)(2)(a); or
- 2.) an event associated with any of the judge's educational, religious, charitable, fraternal or civic activities if the same invitation is offered to non-judges who are engaged in similar ways in the activity as is the judge, Rule 3.13(C)(2)(b).

**Do not report:**

- 1.) items with little intrinsic value, such as plaques, certificates, trophies, and greeting cards (Rule 3.13(B)(1));
- 2.) gifts, loans, bequests, benefits, or other things of value from friends, relatives, or other persons, including lawyers, whose appearances or interest in a proceeding pending or impending before the judge would in any event require disqualification of the judge under Rule 2.11 (Rule 3.13(B)(2));
- 3.) ordinary social hospitality (Rule 3.13(B)(3));
- 4.) commercial or financial opportunities and benefits, including special pricing and discounts, and loans from lending institutions in their regular course of business, if the same opportunities and benefits or loans are made available on the same terms to similarly situated persons who are not judges (Rule 3.13(B)(4));
- 5.) rewards and prizes given to competitors or participants in random drawings, contests, or other events that are open to persons who are not judges (Rule 3.13(B)(5));
- 6.) scholarships, fellowships, and similar benefits or awards, if they are available to similarly situated persons who are not judges, based upon the same terms and criteria (Rule 3.13(B)(6));
- 7.) books, magazines, journals, audiovisual materials, and other resource materials supplied by publishers on a complimentary basis for official use (Rule 3.13(B)(7));
- 8.) gifts, awards, or benefits associated with the business, profession, or other separate activity of a spouse, a domestic partner\*, or other family member of a judge residing in the judge's household\*, but that incidentally benefit the judge unless otherwise required to report in Item 7. (Rule 3.13(B)(8)); and
- 9.) reimbursement of expenses and waivers of fees and charges (Rule 3.14), as specified in Item 10.

*Also list gifts, loans, bequests, benefits, or other things of value of more than \$250, alone or in the aggregate, received by the business, profession, or other separate activity of a spouse, domestic partner\*, or other family member of a judge residing in the judge's household\* from the same source, if the source is a party or other person, including a lawyer, who has come or is likely to come before the judge, or whose interests have come or are likely to come before the judge. (Rules 3.13 (D) and 3.15 (B)(4)).*

**8 CREDITORS:** List the creditor, address and interest rate of those debts which at any time during the prior year were over \$6,500. **DO NOT** list debts that were disclosed in Item 7. **DO NOT** list home mortgages or equity loans, including those on a secondary home. **DO NOT list debts between the judicial officer required to file and a spouse, domestic partner\*, or dependent children.**

- 9 (A) EXTRAJUDICIAL COMPENSATION:** List the source, date of acceptance, nature of activity, and amount of compensation received by the judge for extrajudicial activities (including but not limited to, honoraria, stipends, fees, wages, salaries, royalties, or other compensation for speaking, teaching, and writing). (Rules 3.12 and 3.15(A)(1)).
- (B) OTHER DIRECT AND INDIRECT SOURCES OF INCOME:** List the name and address of other sources of gross income of \$1,300 or more, such as employers (including the Commonwealth of Pennsylvania) and investment income (including interest income, dividends, and capital gains) of \$1,300 or more. **DO NOT list income such as governmental welfare, domiciliary care income, veteran's benefits, social security income, retirement income, and pensions, as well as income received from service as a fiduciary\* for a member of the judge's family\*.** (Rules 3.8 and 3.11)
- 10 REIMBURSEMENT OF EXPENSES AND WAIVER OF FEES OR CHARGES:** List the source, date, description of reimbursement or waiver, and amount of fees or charges that were reimbursed or waived in connection with a judge's participation in extrajudicial activities, if the amount exceeds \$650.00, alone or in the aggregate from the same source in the same calendar year (Rules 3.14 and 3.15(A)(3)).
- Include reimbursement of necessary and reasonable expenses for travel, food, lodging, or other incidental expenses, or a waiver or partial waiver of fees or charges for registration, tuition, and similar items, for the judge, the judge's spouse, domestic partner\*, or guest. DO NOT include reimbursement of expenses or waiver of fees for AOPC/Judiciary-sponsored conferences, meetings and activities. DO NOT list information disclosed in Item 7.
- 11 OFFICE OR DIRECTORSHIP OR EMPLOYMENT IN ANY BUSINESS ENTITY:** List the name of the business entity and position held (including any office, directorship or employment). (Rule 3.11 (B)).
- 12 FINANCIAL INTEREST IN ANY LEGAL ENTITY IN BUSINESS FOR PROFIT:** List the name, address, and interest held in any business for profit if holding more than 5% of the equity or more than 5% of the debt financing.
- 13 BUSINESS INTEREST TRANSFERRED TO IMMEDIATE FAMILY MEMBER:** List the name and address of any business in which a financial interest (as defined in Item 12) was transferred to an immediate family member (parents, spouse, domestic partner\*, child, brother or sister). Also list the interest held, family member's name and address, the judge's relationship to the family member, and date of transfer.

## **PART B**

Verification of Legal Residence: Self explanatory