

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) Schwab, Susan E.	2. Court or Organization U.S. District Court Middle District of Pennsylvania	3. Date of Report 02/16/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/1/2016 to 12/31/2016
7. Chambers or Office Address Federal Building & U.S. Courthouse 228 Walnut Street P.O. Box 827 Harrisburg, PA 17108-0827		
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.		
2.		
3.		
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.	2001	Commonwealth of Pennsylvania State Employees' Retirement System (defined benefit plan - no control)
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	Commonwealth of Pennsylvania State Employees' Retirement System (defined benefit plan - no control)	\$24,661.20
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.	
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. PA Deferred Comp. Prgm - Great West Ret. Srv. (no control)	A	Int./Div.	M	T					
2. PA Deferred Comp. Prgm - Great West Ret. Srv. (no control)	A	Int./Div.	M	T					
3.									
4. IRA #1 (Scottrade)									
5. -Contrarian Core Fund Class Z (formerly Columbia Valu & Restructg Fd)	A	Int./Div.	J	T					
6.									
7. IRA #2 (Scottrade)									
8. -Royce Opportunity Fund	A	Int./Div.	L	T					
9. -Delafield Fund Inc.	A	Int./Div.	K	T					
10.									
11. IRA#3 (Scottrade)									
12. -Royce Pennsylv. Fund	A	Int./Div.	L	T					
13. -Third Ave. Value Fund	A	Int./Div.	K	T					
14.									
15. IRA #4 (Scottrade)									
16. -Janus Henderson Mid Cap Value (formerly Perkins Mid Cap Value Fund)	A	Int./Div.	K	T					
17.									

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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18. IRA#5 (TD Ameritrade)									
19. -Artisan Intl Val Fd	A	Int./Div.	K	T					
20. -Insured Dep Acct	A	Int./Div.	J	T					
21.									
22. IRA#6 (Vanguard)									
23. -Vanguard International Value Fund	A	Dividend	J	T					
24. -Vanguard International Growth Fund	A	Dividend	J	T					
25. -Vanguard Wellesley Income Fund Adm.	A	Dividend	J	T					
26. -Vanguard GNMA Fund Adm. Shares	A	Dividend	J	T					
27. -Vanguard PRIMECAP Fund Adm.	A	Dividend	M	T					
28. -Vanguard Explorer Fund Adm.	A	Dividend	K	T					
29. PA State Employees' Credit Union (X)	A	Int./Div.	J	T					
30. Roth IRA (Scotttrade) - U.S. Bank Deposit Program (cash acct)	A	Int./Div.	J	T					
31. PA 529 - Income Portfolio (X)	A	Interest	J	T					
32. PA 529 - Conservative Income Portfolio (X)	A	Interest	J	T					
33. PA 529 - Inflation Securities Portfolio (X)	A	Interest	J	T					

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

Section VII, Part A, Line 5 - Columbia Valu & Restruction Fd listed on the 2015 Financial Disclosure Report is now called Contrarian Core Fund Class Z.
Section VII, Part A, Line 16 - Perkins Mid Cap Value Fund listed on the 2015 Financial Disclosure Report is now called Janus Henderson Mid Cap Value.

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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/ Susan E. Schwab

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
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