

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Goldberg, Mitchell S.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 04/29/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Room 7614, U. S. Courthouse 601 Market Street Philadelphia, PA 19106		
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. 2/03	Pennsylvania Employee Retirement System
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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. 2014	Pennsylvania Employee Retirement System	\$13,818.00
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. 2014	Heartsine Technologies - salary
2. 2014	Independent Yoga Instructor
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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 - 1/3 Interest - property located in Stewart, FL	B	Rent	M	W					
2. American Fund #1 - 529 - age or risk based - no control	A	Interest	J	T					
3. American Fund #2 - 529 - age or risk based - no control	A	Dividend			Redeemed	07/31/14	J		
4. Morgan Stanley Smith Barney #1 - Common stocks & options:									
5. Apple Inc	A	Dividend	K	T					
6. AT&T Inc	B	Dividend	K	T					
7. Baxter Intl Inc	A	Dividend	K	T					
8. Cardinal Health Inc	A	Dividend	K	T					
9. Halyard Health Inc.	A	Dividend	J	T	Spinoff (from line 12)	01/01/14	J		
10. Bristol Myers Squibb Co.	A	Dividend	J	T					
11. HCP Inc.	B	Dividend	K	T					
12. Kimberly Clark Corp.	A	Dividend	K	T					
13. Kinder Morgan Incorp.	A	Dividend	J	T	Buy	09/12/14	J		
14. Metlife Inc.	A	Dividend	K	T					
15. Microsoft Corp.	A	Dividend			Sold	09/12/14	K	A	
16. Pepsico Inc.	A	Dividend	K	T					
17. Rayonier	A	Dividend	J	T	Buy	08/25/14	K		

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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. Sysco Inc.	A	Dividend	J	T					
19. E I Du Pont De Nemours & Co	A	Dividend	K	T					
20. Energy Transfer Partners L.P Unit L.P Int	B	Dividend	K	T					
21. Morgan Stanley Smith Barney Corporate Bonds:									
22. General Electric Cap Corp.	A	Interest			Redeemed	11/14/14	K	A	
23. Berkshire Hathaway Fin. Corp.	A	Interest	K	T					
24. Pepsico Inc.	B	Interest	K	T					
25. Potash Corp.	B	Interest	K	T					
26. Goldman Sachs Group Inc.	A	Interest	K	T	Buy	09/30/14	K		
27. Morgan Stanley Smith Barney Certificates of Deposit:									
28. Ally Bank-UT (Formerly GMAC Bank) #1	A	Interest			Matured	04/14/14	K	A	
29. ST BK India NY CD 20000	A	Interest	K	T					
30. Amex Centurion Salt Lake City UT CD	A	Interest	K	T	Open	12/01/14	K		
31. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
32. Citibank	A	Interest	J	T					
33. Powershares QQQ TR Ser 1	A	Dividend			Sold	11/07/14	J	A	
34. Exxon Mobil Corp	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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)

35. HCP Incorporated	A	Dividend	K	T					
36. International Paper Co.	A	Dividend	K	T	Buy	07/09/14	K		
37. United Technologies	A	Dividend	K	T	Buy	10/08/14	K		
38. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Dividend	J	T					
39. Waste Mgmt Inc Del	A	Dividend	J	T					
40. Williams Co.	A	Dividend	K	T					
41. Pennsylvania St. Genl. Oblig	A	Interest	K	T	Buy	08/04/14	K		
42. Morgan Stanley Smith Barney #3 - common stock									
43. Tyco Intl Ltd Chf	A	Dividend			Sold	02/13/14	J	A	
44. The ADT Corp. com	A	Dividend			Sold	04/17/14	J	A	
45. Baxter Intl Inc	A	Dividend	J	T					
46. Pentair Ltd.	A	Dividend	J	T					
47. Pepsico Inc	A	Dividend	K	T					
48. Waste Mgmt Inc Del	A	Dividend			Sold	10/22/14	J	A	
49. Willaims Co., Inc.	A	Dividend	J	T					
50. Goldman Sachs New York NY CD	A	Interest	K	T	Open	05/15/14	K		
51. Oppenheimer Fund - Retirement IRA		None	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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)

52. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					
53. Savings & Checking Accounts:									
54. ING Direct Savings Account	A	Interest			Closed	01/01/14	K		See Part VIII, No. 1
55. Capital One 360, formerly known as ING Direct Savings Acct (Line 54)	A	Interest	J	T	Open	01/01/14	K		See Part VIII, No. 2
56. TD Bank Checking Account		None	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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

1. Part VII, page 8, Line 54 ING Direct Savings Account is now Capital One 360 (Line 55).
2. Part VII, page 8, Line 55 Capital One 360 ws formerly ING Direct Saving Account (Line 54).

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

04/29/2015

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/ Mitchell S. Goldberg**

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