

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Gardner, James Knoll	2. Court or Organization Eastern District of PA	3. Date of Report 10/18/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2015 to 12/31/2015
7. Chambers or Office Address Edward N. Cahn U.S. Courthouse 504 W. Hamilton Street, #4701 Allentown, PA 18101		
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. Officer, Director	Allentown Symphony Association
2. Director	Boys and Girls Club of Allentown, Inc.
3. Director	Police Athletic League, Inc.
4. General Partner (passive investment in Subchapter "S" Corporation)	1/6 share of Rental Property #1
5. Executive Committee	Minsi Trails Council, Boy Scouts of America

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. 2002	State Employees Pension Fund; retirement pension for former judicial position, includes medical insurance and long-term care benefits, 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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	State Employees Pension Fund reported in Part II (fixed benefits from a vested pension plan)	\$67,455.60
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.)*

DATE	SOURCE AND TYPE
1. 2015	self-employed piano teacher
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Third Circuit Judicial Retreat	April 26 - 28, 2015	Skytop, Pennsylvania	Judicial Retreat	Hotel, Reception, Meals and Registration Fee
2. The Historical Society of the U.S. District Court for the Eastern District of PA	May 11, 2015	Philadelphia, PA	31st Annual Meeting	Reception, Dinner
3. Bar Association of Lehigh County	May 20, 2015	Allentown, PA	Annual Meeting	Dinner and Entertainment
4. Bar Association of Lehigh County	October 16 - 18, 2015	Gettysburg, PA	Bench - Bar Conference	Hotel, Reception, Meals and Registration Fee

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5.	Third Circuit Judicial Conference	October 21 - 23, 2016	Bedford, PA	Judicial Conference	Hotel, Reception, Meals and Registration Fee
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Prudential Asset Resources	1/6 share Mortgage on Rental Property #1, Torrence, California (Part VII, line 1)	O
2.	Chase Card Services (Y) (See Part VIII)	Credit Card (Visa)	
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 I (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. Rental Property #1, Torrence, California (1997 \$533,333)	E	Rent	P1	Q					
2. Time Share #1, Williamsburg, Virginia (1999 \$18,700)	C	Rent	K	R					
3. Santander Bank Accounts	A	Interest	K	T					
4. Brokerage Account #I:									
5. Morgan Stanley Private Bank NA	A	Interest	J	T					
6. LM Clearbridge Apprec. Fd. Cl. A - Mut. Fd. (See Part VIII)	B	Dividend	K	T					
7. Calamos Convertible & High Income Fund - Closed End Fund	B	Dividend	K	T					
8. Wells Fargo & Company - Common Stock	A	Dividend	J	T					
9. Calamos Strategic Total Return Fund - Closed End Fund	B	Dividend	K	T					
10. Eaton Vance Tax Eqty. Inc. Fund - Closed End Fund	B	Dividend	K	T					
11. NuStar Energy L.P. - Common Stock	A	Int./Div.	J	T	Sold	10/13/15	J		N/A
12. BT Group PLC ADR - USD - Common Stock	A	Dividend	J	T					
13. BlackRock Global Alloc. Fd. - Mutual Fund	B	Dividend	K	T	Sold (part)	10/13/15	J	B	N/A
14. Intel Corporation - Common Stock	B	Dividend	K	T					
15. Baron Growth Fund-Mutual Fund	A	Dividend	J	T					
16. Eaton Vance Large-Cap Value Fund Class A Mutual Fund	A	Dividend	J	T					
17. Janus Forty Class S - Mutual Fund	B	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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☐ 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. Lazard Emerging Markets Port Fund - Mutual Fund	A	Dividend	J	T					
19. Pimco Total Return Fund Class D - Mutual Fund	A	Dividend	J	T					
20. Pimco Commodity Real Return Fund Class D - Mutual Fund	A	Dividend	J	T					
21. T Rowe Price Int'l Bond Fund - Mutual Fund	A	Dividend	J	T					
22. Royce Premier Fund INV Class - Mutual Fund	A	Dividend	J	T					
23. Johnson & Johnson - Common Stock	A	Dividend	J	T					
24. Magellan Midstream Partners LP - Common Stock	B	Dividend	K	T					
25. Microsoft Corp. - Common Stock	A	Dividend	J	T					
26. DWS Floating Rate Fund Class C - Mutual Fund	A	Dividend							
27. Deutsche Floating Rate C - Mutual Fund	A	Dividend	J	T					
28. Deutsche Managed Municipal Bond C - Mutual Fund	A	Interest	K	T					
29. Ishares Nasdaq Biotech ETF - Closed End Fund	A	Dividend	J	T	Buy	02/25/15	J		N/A
30. SPDR S & P Biotech - Closed End Fund	A	Dividend	J	T	Buy	02/25/15	J		N/A
31. Unit FT Cyber Security 1 - Equity Trust	A	Dividend	J	T	Buy	07/01/15	J		N/A
32. Berkshire Hathaway Class B - Common Stock	A	Dividend	J	T	Buy	02/25/15	J		N/A
33. Mainstay Hi Yld. Corp. Bond Cl. A/I - Corporate Bond (See Part VIII)	A	Dividend	J	T					
34. Pepsico Inc. NC - Common Stock	A	Dividend	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Vanguard European MSCI ETF - Closed End Fund	A	Dividend	J	T					
36. Bank of America Corp. - Common Stock	A	Dividend	J	T					
37. End of Brokerage Account #1									
38. Brokerage Account #2 (Custodial Account #1) redeemed 5/20/04									
39. Brokerage Account #3 (Custodial Account #2) redeemed 8/28/07									
40. IRA #1 redeemed 8/27/09									
41. Brokerage Account #4:									
42. LM Clearbridge Apprec. Fd. Cl. A - Mut. Fund (See Part VIII)	A	Dividend	J	T					
43. Eaton Vance Global Return Fund Class C Mutual Fund	A	Dividend	J	T	Sold	02/15/15	J		N/A
44. Intel Corporation - Common Stock	A	Dividend	J	T	Sold	07/01/15	J	A	N/A
45. General Electric Company - Common Stock	A	Dividend	J	T	Sold	02/25/15	J	A	N/A
46. Pure Funds ISE Cyber Security - Closed End Fund		None	J	T	Buy	07/01/15	J		N/A
47. End of Brokerage Account #4									
48. Time Share #2, Williamsburg, Virginia (2002 \$19,900)	C	Rent	K	R					
49. IRA #2									
50. Royce Total Return Fund Consultant - Mutual Fund	C	Dividend	K	T					
51. Invesco Van Kampen Eq. & Inc. Fd. Cl. C - Mutual Fund	A	Dividend	J	T					

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52. American Funds-Growth Fund of America Class C - Mutual Fund - (Y)									
53. Oppenheimer Developing Markets Fund Class C - Mutual Fund	A	Dividend	J	T					
54. Lincoln National Life Insurance Co - Annuity		None	L	T					
55. BlackRock Global Allocation Fund Inc. - Mutual Fund	B	Dividend	K	T					
56. Putnam Asset Allocation Balanced Class C - Mutual Fund	A	Dividend	J	T					
57. Consolidated Edison Inc. - Common Stock	A	Dividend	J	T					
58. GNMA REMIC-Ser. 2004-75-Cl. NG-Ast.-Bkd. Sec. - (Y)									
59. BlackRock Equity Dividend Fund Class C - Mutual Fund	B	Dividend	K	T					
60. Morgan Stanley Bank, N.A. - Bank Deposit Program (X)	A	Interest	J	T					
61. GNMA REMIC-Series 2012 Cl. 129 YA - Asset-Bkd. Security		None	J	T					
62. BlackRock Multi-Asset Inc. Class C - Mutual Fund	A	Dividend	K	T					
63. American Funds - Growth Fund of America F1 - Mutual Fund	A	Dividend	K	T					
64. End of IRA #2									
65. New York Life Whole Life	G	Dividend	M	T					
66. Brokerage Account #5 redeemed 04/22/10									
67. KNBT Bank Accounts	A	Interest	K	T					
68. Rental Property #2, Lehigh County, PA (2006 \$250,000)	D	Rent	M	R					

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69. Fun \$ [Money] Investment Club - Partnership	A	Dividend	J	T					
70. U.S. Savings Bonds	A	Interest	J	T					
71. Fidelity Mutual Life Insurance Co. - Whole Life	A	Dividend	J	T					
72. Time Share #3, Williamsburg, Virginia (2011 \$19,095)	C	Rent	K	R					
73. Lafayette Ambassador Bank Accounts	A	Interest	J	T					
74. Brokerage Account #6									
75. Stroudsburg PA Area Sch. Dist.-A - Municipal Bond	A	Interest			Sold	03/31/15	J		N/A
76. Oppenheimer Devel. Mkts.Class C-Mutual Fund	A	Dividend	J	T					
77. PPL Corporation - Common Stock	A	Dividend	J	T					
78. Franklin Income - Mutual Fund	A	Dividend			Sold	03/31/15	J		N/A
79. End of Brokerage Account #6									
80. Brokerage Account #1 continued									
81. Invesco Premier PTF INSTL - Mutual Fund (Y)									

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

1. Re Part VI, Line 2: This liability, a Visa Credit Card, was reported in Part VI, Line 2 of the calendar year 2014 Financial Disclosure Report. However, at no time during calendar year 2015 did this obligation exceed \$10,000.00. Therefore, this credit card obligation is not reportable in this 2015 Financial Disclosure Report, as indicated by a parenthetical (Y) in Part VI, Line 2 of this report.
2. Re Part VII, Lines 6 and 42: The abbreviation "LM" means Legg Mason.

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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/ **James Knoll Gardner**

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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One Columbus Circle, N.E.
Washington, D.C. 20544