

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) DUBOIS, JAN E.	2. Court or Organization U.S.D.C., E.D., PA	3. Date of Report 08/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE, U.S.D.C.	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 12613 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.	
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*

<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.		
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. 10. General Electric Co. (11)(59)(60)	D	Dividend	M	T	Donated (part)				
2.					Donated (part)				
3. 58. Home Depot Inc. (5) IRA	C	Dividend	M	T					
4. 59. Intel Corp. (5) IRA	C	Dividend	L	T	Sold (part)	12/14/16	L	E	
5. 69. Merck & Co. (5) IRA	C	Dividend	M	T					
6. 94. Wells Fargo (10)	A	Interest	J	T					
7. 99. NCR Corporation (12)()		None	J	T					
8. 102. CitiGroup (5) IRA	A	Dividend	L	T					
9. 125.Citigroup(9)	A	Dividend	J	T					
10. 134. Oracle Corp. (5) IRA	A	Dividend			Sold	03/23/16	M	E	
11. 137. Cisco Sys Inc. (5) IRA	C	Dividend	M	T					
12. 152. Pfizer, Inc. (5) IRA	C	Dividend	M	T					
13. 162. Ishares MSCI EAFE Fund (6) IRA ()	B	Dividend	K	T	Sold (part)	09/19/16	J	B	
14. 165. BDP-Morgan Stanley Bank (11)	A	Interest	M	T					
15. 166. Royal Dutch Shell PLC(12)() (62)	B	Dividend	K	T	Sold (part)	03/29/16	J	A	
16. 173. BDP Morgan Stanley Bank (12)()	A	Interest	K	T					
17. 184. BDP- Morgan Stanley Bank (9)	A	Interest	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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☐ 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)
18. 186. BDP - Morgan Stanley Bank (5) IRA	A	Interest	J	T					
19. 189. Starbucks Corp. Washington (5) IRA	B	Dividend	M	T					
20. 193. AT&T (12)(X)	C	Dividend	L	T					
21. 194. Teradata (12)(X)		None	J	T					
22. 197. Manitex Intl Inc. Com. (12)(X)		None	K	T	Buy (add'l)	06/01/16	J		
23. 203. Wisdom Tree Int'l Large CAP (DOL) (6) IRA (X)	B	Dividend	K	T					
24. 204. Ishares MSCI Emerging Mkts FD(6) IRA (X)	A	Dividend	L	T					
25. 206. Dow Chemical Co. (5) IRA	C	Dividend	M	T					
26. 207. Chesapeake Energy Corp. (5) IRA		None	J	T					
27. 208. Arcelormittal NY Reg (5) IRA		None	K	T					
28. 211. Morgan Stanley (9)	B	Dividend	K	T	Sold (part)	11/14/16	K	A	
29. 212. MS CMT PPN (11)	A	Interest	K	T					
30. 213. BDP - Morgan Stanley Bank (6) IRA (X)	A	Interest	J	T					
31. 215. Facebook Inc. CI-A (5) IRA		None	M	T					
32. 217. Facebook Inc CI-A (6) IRA (X)		None	K	T					
33. 220. 3D Systems Corp. (12)(X)		None	J	T					
34. 221. USA Technologies (12)(X)		None	K	T	Sold (part)	02/16/16	J	C	

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. 222. Apple, Inc. (11)	B	Dividend	M	T					
36. 223. Donnelly RR & Sons Co. (9)(63)	B	Dividend	K	T					
37. 224. Freeport McMoran CP&GLD (6) IRA		None	J	T					
38. 225. Seventy Seven Energy (5) IRA (65)		None			Expired	08/02/16	J	A	
39. 226. Sony Corp. ADR 1974 New (5) IRA	A	Dividend	L	T					
40. 227. Vodafone (9)	B	Dividend	K	T					
41. 228. Williams Co Inc (9)	B	Dividend	K	T					
42. 229. NRG Yield Inc Class A (9)	B	Dividend	K	T	Buy (add'l)	12/06/16	J		
43. 230. Twitter Inc. (6) IRA		None	K	T					
44. 231. Qualcomm Inc. (5) IRA	B	Dividend	L	T	Buy	03/18/16	L		
45. 232. Discover Fincl Svcs (5) IRA	A	Dividend	L	T	Buy	03/18/16	L		
46. 233 Donnelly Financial Solutions, Inc. (9) (61)		None	J	T					
47. 234. LSC Communications, Inc. Com (9)	A	Dividend	J	T					
48. 235. Crown Castle International Corporation (9)	A	Dividend	K	T	Buy	12/06/16	K		
49. 236. Acelormittal SA RTS (5) IRA (64)		None			Sold	03/18/16	J	C	
50. 237. ESC Seventy Seven (5) IRA (65)		None	J	T					
51. 238. Seventy Seven Energy (SEVNZ) (5) IRA (65)		None	J	T					

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52. 239. Seventy Seven Energy (VENEZ) (5) IRA (65)		None	J	T					

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

(5) (Lines 58, 59, 69, 102, 134, 137, 152, 186, 189m 206, 207, 208, 215, 225, 226, 231, 232, 236, 237, 238, 239) Securities in an IRA Account with Morgan Stanley.

(6) (Lines 162, 203, 204, 213, 217, 224, 230) Securities in [REDACTED] IRA Account with Morgan Stanley.

(9) (Lines 125, 184, 211, 223, 227, 228, 229, 233, 234, 235) Securities in [REDACTED] Trust of which [REDACTED] is co-trustee and income beneficiary.

(10) (Line 94) Checking Account

(11) (Lines 10, 165, 212, 222) Securities in a Brokerage Account with Morgan Stanley.

(12) (Lines 99, 166, 173, 193, 194, 197, 220, 221) Securities in [REDACTED] Brokerage Account with Morgan Stanley.

(59) (Line 10) 80 shares donated to [REDACTED]

(60) (Line 10) 160 shares donated to [REDACTED]

(61) (Line 233 and 234) shares received as a stock dividend from Line 223

(62) (Line 166) received additional shares as stock dividend on 3/29/2016

(63) (Line 223) reverse split on 10/6/2016

(64) (Line 236) received as a stock dividend from Line 208

(65) (Line 237, 238, 239) received in exchange for shares in Line 225

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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/ JAN E. DUBOIS**

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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Washington, D.C. 20544