

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Brody, Anita B.	2. Court or Organization United States District Court	3. Date of Report 10/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse Independence Mall West 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member	Board of Visitors, Columbia Law School
2.	Trustee	Family Trust
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.		
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. 2017	Commonwealth of Pennsylvania-pension	\$30,691.00
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.	
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. American Inn of Court	May 15-18, 2017	Nashville, TN	Seminar speaker	Transportation
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. Bank Accounts (H)									
2. Wells Fargo - bank accounts	A	Interest	M	T					
3. Beneficial Bank accounts	A	Interest			Closed	01/17/17	M		
4. Family Trust #2 (H)									
5. - Wellington Fund Admiral	E	Dividend	N	T					
6. - Total Bond MKT Index Adm	D	Dividend	N	T					
7. - Total Stock Mkt Idx Adm	D	Dividend	O	T					
8. IRA #3 (H)									
9. - Vanguard Total Bond Market Index Fund Admiral Shares	D	Dividend	N	T	Distributed (part)	01/04/17	L		
10.					Distributed (part)	07/03/17	L		
11. - Vanguard Total Stock Market Index Fund Admiral Shares	E	Dividend	P1	T					
12. - Wellington Fund Admiral Shares	E	Dividend	N	T					
13. Education Account #1 (H)									
14. - NH Portfolio 2018 (Index)		None	L	T	Buy (add'l)	01/23/17	J		
15. - NH Portfolio 2018		None	L	T	Buy (add'l)	01/23/17	J		
16. Education Account #3 (H)									
17. - NH College Portfolio (Index)		None			Sold (part)	01/31/17	J		

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		

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18.					Sold	12/29/17	J		
19. - NH College Portfolio		None			Sold (part)	04/23/17	J		
20.					Sold (part)	07/07/17	J		
21.					Sold	12/29/17	J		
22. - Fidelity Cash Account		None	J	T	Open	12/29/17	J		
23. Education Account #5 (H)									
24. - NH Portfolio 2015 (Index)		None	L	T	Buy (add'l)	01/23/17	J		
25. - NH Portfolio 2015		None	L	T	Buy (add'l)	01/23/17	J		
26. Education Account #6 (H)									
27. - NH Portfolio 2024 (Index)		None	L	T	Buy (add'l)	01/23/17	J		
28. - NH Portfolio 2024		None	L	T	Buy (add'l)	01/23/17	J		
29. Education Account #7 (H)									
30. - NH Portfolio 2024 (Index)		None	L	T	Buy (add'l)	01/23/17	J		
31. - NH Portfolio 2024		None	L	T	Buy (add'l)	01/23/17	J		
32. Education Account #8 (H)									
33. - NH Portfolio 2021 (Index)		None	L	T	Buy (add'l)	01/23/17	J		
34. - NH Portfolio 2021		None	L	T	Buy (add'l)	01/23/17	J		

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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	
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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35. Ameriprise Financial stock	A	Dividend	K	T					
36. Brokerage Account #2 (H)									
37. - Fidelity Treasury MMkt FD	A	Interest	J	T					
38. - Third Avenue Focused Credit Fund Investor		None	J	T	Distributed (part)	05/16/17	J		
39.					Distributed (part)	07/12/17	J		
40.					Distributed (part)	10/25/17	J		
41. Brokerage Account #3 (H)									
42. - Fidelity Inter Mediate Muni Income	D	Dividend	N	T					
43. - Fidelity Total Mkt Index	E	Dividend	O	T	Sold (part)	12/12/17	N	G	
44. - Fidelity 500 Index Premium Class	D	Dividend	N	T	Sold (part)	12/12/17	L	E	
45. -Fidelity Government Money Market	A	Interest	N	T	Buy	12/13/17	N		
46.									

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

Part VII, line 22 is the remaining cash balance in the education account at the end of the year which will be distributed in 2018 and closed.

Part VII, Lines 13-34. Although I understand the form requires income to be listed for each investment in column B of Part VII, "none" has been reported because the statements provided to me from the educational accounts do not provide such detail.

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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/ Anita B. Brody**

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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