

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) Brody, Anita B.	2. Court or Organization United States District Court	3. Date of Report 05/04/2017
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 01/01/2016 to 12/31/2016
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.)*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.

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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	M	T					
4. Family Trust #2 (H)									
5. - Vanguard Federal Money Market Fund (Y)									
6. - Wellington Fund Admiral	E	Dividend	N	T					
7. - Total Bond MKT Index Adm	D	Dividend	N	T					
8. - Total Stock Mkt Idx Adm	D	Dividend	N	T					
9. IRA #3 (H)									
10. - Vanguard Total Bond Market Index Fund Admiral Shares	E	Dividend	O	T	Distributed (part)	01/05/16	L		
11.					Distributed (part)	07/02/16	L		
12. - Vanguard Total Stock Market Index Fund Admiral Shares	E	Dividend	P1	T					
13. - Wellington Fund Admiral Shares	D	Dividend	M	T					
14. Education Account #1 (H)									
15. - NH Portfolio 2018 (Index)		None	L	T	Buy (add'l)	12/06/16	J		
16. - NH Portfolio 2018		None	L	T	Buy (add'l)	12/06/16	J		
17. Education Account #2 (H)									

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. - NH College Portfolio (Index)		None			Distributed	01/05/16	K		
19. - NH College Portfolio		None			Distributed	01/05/16	K		
20. Education Account #3 (H)									
21. - NH College Portfolio (Index)		None	J	T	Sold (part)	07/12/16	J		
22.					Buy (add'l)	12/06/16	J		
23.					Sold (part)	12/30/16	K		
24. - NH College Portfolio		None	K	T	Sold (part)	07/12/16	J		
25.					Buy (add'l)	12/06/16	J		
26. Education Account #5 (H)									
27. - NH Portfolio 2015 (Index)		None	L	T	Buy (add'l)	12/06/16	J		
28.					Sold (part)	12/09/16	L		
29.					Buy (add'l)	12/09/16	L		
30. - NH Portfolio 2015		None	L	T	Buy (add'l)	12/06/16	J		
31.					Sold (part)	12/09/16	L		
32.					Buy (add'l)	12/09/16	L		
33. Education Account #6 (H)									
34. - NH Portfolio 2024 (Index)		None	K	T	Buy (add'l)	12/06/16	J		

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35. - NH Portfolio 2024		None	K	T	Buy (add'l)	12/06/16	J		
36. Education Account #7 (H)									
37. - NH Portfolio 2024 (Index)		None	K	T	Buy (add'l)	12/06/16	J		
38. - NH Portfolio 2024		None	K	T	Buy (add'l)	12/06/16	J		
39. Education Account #8 (H)									
40. - NH Portfolio 2021 (Index)		None	K	T	Buy (add'l)	12/06/16	J		
41. - NH Portfolio 2021		None	K	T	Buy (add'l)	12/06/16	J		
42. Ameriprise Financial stock	A	Dividend	K	T					
43. Brokerage Account #2 (H)									
44. - Fidelity Treasury MMkt FD	A	Interest	J	T					
45. - Chemours Co Com (The)	A	Dividend			Sold	03/29/16	J		
46. - DuPont E I De Nemours & Co	A	Dividend			Sold	03/29/16	L	E	
47. - Source Capital Inc Com	E	Dividend			Sold	03/29/16	M		
48. - Third Avenue Intl Value Instl Class		None			Sold	01/15/16	M		
49. - Third Avenue Real Estate Value Instl		None			Sold	01/15/16	M		
50. - Third Avenue Small Cap Value Instl Class		None			Sold	01/15/16	M		
51. - Third Avenue Value Instl Class		None			Sold	01/15/16	O		

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52. - Third Avenue Focused Credit Fund Investor		None	J	T	Distributed (part)	06/15/16	J		
53.					Distributed (part)	11/30/16	J		
54. Brokerage Account #3 (H)									
55. - Fidelity Inter Mediate Muni Income	D	Dividend	N	T	Buy	01/26/16	N		
56. - Fidelity Total Mkt Index	E	Dividend	O	T	Buy	01/26/16	O		
57. - Fidelity 500 Index Premium Class	D	Dividend	N	T	Buy	01/26/16	M		
58.					Buy (add'l)	04/12/16	M		

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

Part VII, Lines 17-19, remaining balance was distributed and account was closed in January 2016.

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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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