

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) Goldberg, Mitchell S.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 05/09/2017
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 01/01/2016 to 12/31/2016
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

05/09/2017

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. 2016	Pennsylvania Employee Retirement System	\$13,818.00
2. 2016	Temple University Beasley School of law - teaching	\$5,196.00
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. 2016	Physio-Control - salary (Acquired Heartsine)
2. 2016	Stryker Corp. (Acquired Physio-Control)
3. 2016	Independent Yoga Instructor
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. Bucks County Bench Bar Conference	September 22 - 24, 2016	Grand Cascade Lodge, Hamburg, NJ	Bench Bar Conference - speaker	Lodging and meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

05/09/2017

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

05/09/2017

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	N	W					
2. Morgan Stanley Private Bank NA	A	Interest	L	T					
3. Morgan Stanley Smith Barney #1 - Common stocks & options:									
4. Apple Inc	A	Dividend	K	T					
5. AT&T Inc	B	Dividend	K	T					
6. Cardinal Health Inc Ref: 17200000	A	Dividend	K	T					
7. Chemours Co Com	A	Dividend	J	T					
8. Discover Fincl Svcs	A	Dividend	K	T					
9. Eaton Corp Plc Shs	A	Dividend			Sold	3/15/16	K		
10. Halyard Health Inc.	A	Dividend	J	T					
11. Bristol Myers Squibb Co.	A	Dividend	J	T					
12. Harley Davidson Inc.	A	Dividend	J	T	Sold (part)	11/03/16	J		
13. HCP Inc.	B	Dividend	J	T					
14. Quality Care Properties	A	Dividend	J	T	Spinoff (from line 13)	10/28/16	J		
15. Kimberly Clark Corp.	A	Dividend	K	T					
16. Kinder Morgan Incorp.	A	Dividend	J	T					
17. Metlife Inc.	A	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 = \$250,000,001 - \$500,000,000	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 5 of 9

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18. Pepsico Inc.	A	Dividend	J	T					
19. Sysco Inc.	A	Dividend	J	T					
20. Walt Disney Co. Hldg. Co.	A	Dividend	J	T					
21. H & R Block	A	Dividend	J	T	Buy	08/11/16	J		
22. Macy's Inc.	A	Dividend	J	T	Buy	04/14/16	J		
23. Morgan Stanley Smith Barney Corporate Bonds:									
24. Capital One Financial Co. Bond	B	Interest	K	T					
25. Pepsico Inc.	B	Interest	K	T					
26. Potash Corp.	B	Interest	K	T					
27. Goldman Sachs Group Inc.	A	Interest	K	T					
28. Morgan Stanley Smith Barney Certificates of Deposit:									
29. ST BK India NY CD 20000	A	Interest	K	T					
30. Amex Centurion Salt Lake City UT CD	A	Interest	K	T					
31. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
32. Citibank	A	Interest			Closed	01/01/16	J		
33. Exxon Mobil Corp	A	Dividend	J	T					
34. HCP Incorporated	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. Quality Care Properties	A	Dividend	J	T	Spinoff (from line 34)	10/28/16	J		
36. International Paper Co.	A	Dividend	K	T					
37. United Technologies	A	Dividend	K	T					
38. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Interest	J	T					
39. Williams Co. Inc.	A	Dividend			Sold	7/27/16	J		
40. Pennsylvania St. Genl. Oblig	A	Interest	K	T					
41. Morgan Stanley Smith Barney #3 - common stock									
42. Baxalta Inc. Com (Acquired by Shire, line 43)	A	Dividend	J	T					
43. Shire PLC-ADR (Acquired Baxalta Intl. Inc 1/11/16)	A	Dividend	J	T					
44. Baxter Intl Inc	A	Dividend	J	T					
45. Pentair Ltd.	A	Dividend	J	T					
46. Pepsico Inc	A	Dividend	K	T					
47. Williams Co., Inc.	A	Dividend	J	T					
48. Yum! Brands Inc Bond	A	Interest	K	T					
49. Goldman Sachs New York NY CD	A	Interest	K	T					
50. Oppenheimer Fund - Retirement IRA	A	Dividend	K	T					
51. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Goldberg, Mitchell S.

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52. Savings & Checking Accounts:									
53. Capital One 360 Savings Account	A	Interest	J	T					
54. TD Bank Checking Account		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

05/09/2017

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

Part IV. Reimbursements.

For years 2014 and 2015 I also attended and spoke on a legal panel at the Bucks County Bench Bar Conference. In 2015, the Bench Bar was held at the Hyatt Regency in Cambridge Maryland, October 1 through October 3 where I received reimbursement for lodging and meals. The 2014 Bench Bar was held at the Stockton Seaview Resort in Galloway, New Jersey, September 18 through 20, and I received reimbursement for cancellation charges incurred (incredible weather).

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

05/09/2017

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
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