

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Baylson, Michael M.	2. Court or Organization U.S.D.C. Eastern Dist. of PA	3. Date of Report 01/21/2015
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 3810 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Penn Law School - Professor	\$10,000.00
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. 2013	Self-Employed Physician
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. LegalTech	01/28/13 - 01/29/13	New York, NY	Educational Seminar	Travel Expenses
2. American Conference Institute	01/30/2013 - 01/31/2013	New York, NY	Educational Seminar	Travel Expenses
3. The Sedona Conference	06/18/2013 - 06/21/2013	Zurich, Switzerland	Educational Seminar	Travel Expenses
4. Electronic Discovery Institute	10/28/2013 - 10/29/2013	Palm Beach, FL	Educational Seminar	Travel Expenses
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.	Goldblum	Charity Dinner	\$700.00
2.	Neubauer	Charity Dinner	\$700.00
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.	Wells Fargo	Mortgage	O
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. Ameritrade JT Ten.									
2. Alcatel-Lucent		None	J	T					
3. CenturyLink, Inc.	A	Dividend	J	T					
4. Cisco Systems Inc.	A	Dividend			Sold	08/21/13	J		
5. Citigroup Inc.	A	Dividend	K	T					
6. Columbia Labs		None	J	T					
7. Entercom Communications Corp.		None	J	T					
8. Incyte Corporation (Y)									
9. iShares MSCI Brazil Ind	A	Dividend	J	T					
10. LSI Logic	A	Dividend	J	T					
11. Nokia Corp. ADR		None	J	T					
12. Nortel (Y)									
13. Oncologix Tech Inc. (Y)									
14. Opko Health Inc.		None	K	T					
15. Pennsylvania Real Estate Invst	B	Dividend	K	T					
16. Progenics Pharmaceuticals		None	L	T					
17. Prologics	A	Dividend	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 \$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	

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18. Qualcomm Communications	A	Dividend	K	T					
19. RAIT Financial Trust	A	Dividend	J	T					
20. Rentech		None	J	T					
21. Resource Capital Corp	A	Dividend	J	T					
22. Safeguard Scientifics Inc.		None	L	T					
23. Unisys Corp.		None	J	T					
24. Wells Fargo JTWROS									
25. Alcatel-Lucent (Y)									
26. International Business Machines	C	Dividend	M	T					
27. Verizon Communications	D	Dividend	M	T					
28. Wells Fargo Bank Deposit Sweeps		None	J	T					
29. WFBNA Collateral Acct									
30. CMF Money Market Portfolio		None	J	T					
31. AT&T Corp.	A	Dividend	J	T					
32. Bank of America	A	Dividend	K	T					
33. BP Plc Sponsored ADR	B	Dividend	K	T					
34. ConocoPhillips	B	Dividend	K	T					

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35. Exelon Corp.	B	Dividend	K	T	Sold (part)	12/11/13	K	B	
36. Fidelity National Information Services	A	Dividend	K	T					
37. General Electric Co.	D	Dividend	M	T					
38. J.P. Morgan Chase & Co.	B	Dividend	L	T					
39. Lender Processing Services Group	A	Dividend	J	T					
40. NCR Corp (X)	A	Dividend	J	T					
41. Phillips 66	A	Dividend	K	T					
42. PNC Financial Services Corp (Y)									
43. PNC Financial Services Group	B	Dividend	K	T	Sold (part)	08/14/13	J		
44. Teradata		None	J	T					
45. Wells Fargo Company	A	Dividend	J	T					
46. Western Digital Corp. Del	A	Dividend	K	T					
47. Franklin Mutual Ser Fund Inc.	A	Dividend	L	T					
48. Wells Fargo Advantage Emerging Markets Equity		None			Sold	03/07/13	K		
49. PIMPCO Fundamental IndexPlus AR	C	Dividend	L	T	Buy	03/07/13	L		
50. Command Money Fund	A	Interest	J	T					
51. Second IRA R/O									

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52. Adams Harkness Small Cap Growth	B	Dividend	K	T	Sold (part)	10/23/13	J	B	
53. Baron Growth	B	Dividend	L	T					
54. BlackRock Low Duration	C	Dividend	M	T					
55. DFA Emerging Markets Core Equity	A	Dividend	K	T					
56. DFA Global Real Estate Securities	B	Dividend	K	T	Sold (part)	05/03/13	J	B	
57. DFA Int'l Small Cap Value	B	Dividend	L	T	Sold (part)	04/23/13	J		
58. DFA Int'l Value	C	Dividend	M	T	Sold (part)	05/03/13	J		
59. DFA One Year Fixed Income	A	Dividend	M	T	Buy (add'l)	04/23/13	K		
60. DFA Short Term Govt	B	Dividend	M	T					
61. DFA US Large Cap Value	B	Dividend	M	T	Sold (part)	04/23/13	J	B	
62. DFA US Micro Cap	B	Dividend	K	T					
63. DFA US Small Cap Value	C	Dividend	L	T					
64. Dodge and Cox Stock	A	Dividend	L	T					
65. E.I.I. Global Property INST	A	Dividend	K	T					
66. First Eagle Overseas	C	Dividend	L	T					
67. Hotchkis & Wiley Large Cap Value	A	Dividend	L	T	Sold (part)	05/03/13	J		
68. Hotchkis & Wiley Mid Cap Value	A	Dividend	M	T	Sold (part)	04/23/13	J	B	

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69.					Sold (part)	10/23/13	J	C	
70. Ivy Mid Cap Growth	B	Dividend	L	T	Sold (part)	04/23/13	J	A	
71. Janus Fund	A	Dividend	L	T					
72. Janus Overseas	C	Dividend	L	T					
73. Maingate MLP Fund	C	Dividend	L	T	Sold (part)	05/03/13	J	B	
74. Mainstay Marketfield	A	Dividend	K	T	Buy	11/01/13	K		
75. Metropolitan West Total Return Bond	D	Dividend	M	T	Sold (part)	10/18/13	K	A	
76. Morgan Stanley Emerging Mkts	B	Dividend	K	T	Sold (part)	05/03/13	J	A	
77. Morgan Stanley Intl Eqty Fund	B	Dividend	L	T					
78. Royce Opportunity Invt	D	Dividend	L	T	Sold (part)	04/23/13	K	A	
79. RS Global Natural Resources FD	B	Dividend	K	T					
80. Schwab Advisor Cash Reserves	A	Dividend	J	T					
81. Third Ave Intl Value	A	Dividend	L	T	Sold (part)	05/03/13	J	A	
82. Thornburg Intl Value	A	Dividend	L	T					
83. Turner Large Growth Fund	A	Dividend			Sold	11/04/13	L	C	
84. Westcore Intl Small Cap Fund	B	Dividend	K	T					
85. Westcore Mid-Cap Value	A	Dividend	L	T	Sold (part)	05/03/13	J	B	

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86. Westcore MIDCO Growth	D	Dividend	L	T	Sold (part)	05/03/13	J		
87.					Sold (part)	10/23/13	J	A	
88. William Blair Intl Growth	A	Dividend	L	T	Sold (part)	05/03/13	J		
89. William Blair Intl Small Cap Growth	B	Dividend	K	T					
90. William Blair Large Cap Growth	D	Dividend	L	T					
91. William Blair Mid Cap Growth	C	Dividend	L	T	Sold (part)	05/03/13	J	A	
92. William Blair Small Cap Growth	C	Dividend	K	T	Sold (part)	10/23/13	J	C	
93. First IRA R/O									
94. Adams Harkness Small Cap Growth	B	Dividend	K	T	Sold (part)	10/23/13	J	B	
95. Baron Growth	B	Dividend	K	T					
96. BlackRock Low Duration Bond	B	Dividend	M	T	Sold (part)	04/23/13	K	A	
97. DFA Emerging Markets Core Equity	A	Dividend	K	T					
98. DFA Global Real Estate Securities	B	Dividend	K	T					
99. DFA Int'l Small Cap Value	B	Dividend	L	T	Sold (part)	04/23/13	J		
100. DFA Int'l Value	B	Dividend	L	T	Sold (part)	05/03/13	J		
101. DFA One Year Fixed Income	A	Dividend	M	T	Buy (add'l)	04/23/13	J		
102. DFA Short Term Govt	A	Dividend	M	T					

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103. DFA US Large Cap Value	B	Dividend	L	T	Sold (part)	04/26/13	J	B	
104. DFA US Micro Cap	B	Dividend	K	T					
105. DFA US Small Cap Value	C	Dividend	L	T					
106. Dodge and Cox Stock	A	Dividend	K	T					
107. E.I.I. Global Property INST	A	Dividend	K	T					
108. First Eagle Overseas	C	Dividend	L	T					
109. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T	Sold (part)	05/03/13	K	A	
110. Hotchkis & Wiley Mid Cap Value	A	Dividend	L	T	Sold (part)	04/23/13	J	C	
111.					Sold (part)	10/23/13	J	B	
112. Ivy Mid Cap Growth	B	Dividend	L	T	Sold (part)	04/23/13	K	A	
113. Janus Fund	A	Dividend	L	T					
114. Janus Overseas	B	Dividend	L	T					
115. Maingate MLP Fund	C	Dividend	L	T	Sold (part)	05/03/13	J	A	
116. Mainsay Marketfield	A	Dividend	K	T	Buy	11/04/13	K		
117. Metropolitan West Total Return Bond	B	Dividend	M	T	Sold (part)	10/18/13	J	B	
118. Morgan Stanley Emerging Mkts	B	Dividend	K	T	Sold (part)	04/23/13	J	A	
119. Morgan Stanley Intl Eqty Fund	A	Dividend	L	T	Sold (part)	04/23/13	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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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)
120. Royce Opportunity Inv't	C	Dividend	L	T	Sold (part)	04/23/13	J	A	
121. RS Global Natural Resources FD	A	Dividend	K	T					
122. Schwab Advisor Cash Reserves	A	Dividend	J	T					
123. Third Ave Intl Value	A	Dividend	K	T	Sold (part)	05/03/13	J	A	
124. Thornburg Intl Value	A	Dividend	K	T					
125. Turner Large Growth Fund	A	Dividend			Sold	11/04/13	K	C	
126. Westcore Intl Small Cap Fund	A	Dividend	K	T					
127. Westcore Mid-Cap Value	A	Dividend	K	T	Sold (part)	04/23/13	J	A	
128.					Sold (part)	10/23/13	J	A	
129. Westcore MIDCO Growth	D	Dividend	K	T	Sold (part)	05/03/13	J		
130.					Sold (part)	10/23/13	J	A	
131. William Blair Intl Growth	A	Dividend	K	T	Sold (part)	05/03/13	J		
132. William Blair Intl Small Cap Growth	B	Dividend	K	T					
133. William Blair Large Cap Growth	C	Dividend	L	T					
134. William Blair Mid Cap Growth	A	Dividend	K	T					
135. William Blair Small Cap Growth	C	Dividend	K	T	Sold (part)	10/23/13	J	B	
136. Second SEP IRA									

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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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)
137. DFA Global 60/40	A	Dividend	K	T	Buy (add'l)	11/04/13	J		
138. Joint Account									
139. Schwab Advisor Premium Cash Reserve	A	Dividend	M	T					
140. Rental Property; Philadelphia, PA	E	Rent	O	W					
141. Greenspan-Baylson Partnership	A	Int./Div.	K	U					
142.	D	Distribution							
143. BB Partnership (Y)									
144. Zabecor (Y)									
145. LLR Equity Partners Parallel III	A	Int./Div.	M	U	Buy (add'l)	07/01/13	J		
146.	C	Distribution			Buy (add'l)	10/01/13	J		
147. Planet Data Acq.		None	K	W					
148. Advanced Reproductive Care		None	J	W					
149. Baumrin et al Partnership		None	K	W					
150. Keystone Property	B	Distribution	L	U	Buy (add'l)	07/01/13	J		
151. KPGFW - I - PA Ventures, LP	B	Distribution	K	U	Buy	07/01/13	K		
152. Versa Capital	C	Int./Div.	M	U	Buy (add'l)	07/01/13	J		
153.	E	Distribution			Buy (add'l)	09/01/13	J		

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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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)

154. Melior Pharmaceuticals		None	J	T					
155. Allied Biosciences Services		None	M	T	Buy (add'l)	06/01/13	J		
156.					Buy (add'l)	07/01/13	J		
157.					Buy (add'l)	08/01/13	J		
158.					Buy (add'l)	09/01/13	J		
159.					Buy (add'l)	10/1/13	J		

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

- (1) Row 41:PNC Financial Services Corp is a duplicate entry that should have been removed in last year's report.
- (2) Row 25 (ammendment): Alcatel-Lucent has become non-reportable due to a decrease in value.

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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/ Michael M. Baylson**

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