

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/13/2019
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 01/01/2018 to 12/31/2018
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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

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.)*

	<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.	Morgan Stanley	Liquidated Asset Line	N
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)	C	Dividend	L	T					
2. 58. Home Depot Inc. (5) IRA	B	Dividend	M	T	Sold (part)	02/08/18	L	F	
3. 59. Intel Corp. (5) IRA	C	Dividend	M	T					
4. 69. Merck & Co. (5) IRA	C	Dividend	M	T					
5. 94. Wells Fargo (10)	A	Interest	J	T					
6. 99. NCR Corporation (12)		None	J	T					
7. 102. CitiGroup (5) IRA	B	Dividend	L	T					
8. 125.Citigroup(9)	A	Dividend	J	T					
9. 137. Cisco Sys Inc. (5) IRA	C	Dividend	M	T	Sold (part)	02/08/18	L	A	
10. 152. Pfizer, Inc. (5) IRA	C	Dividend	M	T	Sold (part)	02/08/18	K	C	
11. 162. Ishares MSCI EAFE Fund (6) IRA	B	Dividend	K	T					
12. 165. BDP-Morgan Stanley Bank (11)	A	Interest	L	T					
13. 166. Royal Dutch Shell PLC(12)	B	Dividend	K	T					
14. 173. BDP Morgan Stanley Bank (12)	A	Interest	L	T					
15. 184. BDP- Morgan Stanley Bank (9)	A	Interest	J	T					
16. 186. BDP - Morgan Stanley Bank (5) IRA	A	Interest	K	T					
17. 189. Starbucks Corp. Washington (5) IRA	C	Dividend	M	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 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 (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. 193. AT&T (12)	C	Dividend	L	T					
19. 194. Teradata (12)		None	J	T					
20. 197. Manitex Intl Inc. Com. (12)		None	K	T	Sold (part)	12/19/18	K	A	
21. 203. Wisdom Tree Int'l Large CAP (DOL) (6) IRA	B	Dividend	K	T					
22. 204. Ishares MSCI Emerging Mkts FD(6) IRA	A	Dividend	K	T	Sold (part)	02/01/18	K	C	
23. 207. Chesapeake Energy Corp. (5) IRA		None	J	T					
24. 211. Morgan Stanley (9)	B	Dividend	K	T					
25. 212. MS CMT PPN (11)	B	Interest			Sold	12/03/18	K	D	
26. 213. BDP - Morgan Stanley Bank (6) IRA	A	Interest	K	T					
27. 215. Facebook Inc. Cl-A (5) IRA		None	M	T	Sold (part)	02/08/18	L	F	
28. 217. Facebook Inc Cl-A (6) IRA		None	K	T					
29. 221. USA Technologies (12)		None	K	T	Sold (part)	05/24/18	J	D	
30.					Donated (part)				
31. 222. Apple, Inc. (11)	C	Dividend	M	T					
32. 223. Donnelly RR & Sons Co. (9)	A	Dividend	J	T					
33. 224. Freeport McMoran CP&GLD (6) IRA	A	Dividend	J	T					
34. 227. Vodafone (9)	C	Dividend	K	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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35. 228. Williams Co Inc (9)	A	Dividend	K	T					
36. 229. NRG Yield Inc Class A (9)(68)	B	Dividend			Merged (with line 50)	09/17/18	K		
37. 230. Twitter Inc. (6) IRA		None			Sold	02/09/18	K	A	
38. 231. Qualcomm Inc. (5) IRA		None			Sold	02/08/18	L	D	
39. 232. Discover Fincl Svcs (5) IRA	B	Dividend	L	T					
40. 233 Donnelly Financial Solutions, Inc. (9) (61)		None	J	T					
41. 234. LSC Communications, Inc. Com (9)	A	Dividend	J	T					
42. 235. Crown Castle International Corporation (9)	B	Dividend	K	T					
43. 237. ESC Seventy Seven (5) IRA		None	J	T					
44. 240. Arceleromittal CL A NY Registry (5) IRA (65)	A	Dividend	K	T					
45. 241. Dow DuPont Inc. (5) IRA (67)	B	Dividend	L	T	Sold (part)	02/08/18	K	E	
46. 242. Federated US Trsy Csh Res Inst (11)	B	Interest	L	T					
47. 243. Ventas Inc. (12)	B	Dividend	K	T	Buy	05/24/18	L		
48.					Sold (part)	11/13/18	J	B	
49. 244. Federated US Trsy Csh Res Inst (5)	C	Interest	N	T					
50. 245. Clearway Energy Inc. Class A (9)(68)	B	Dividend	K	T					

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

(5) (Lines 58, 59, 69, 102, 137, 152, 186, 189, 207, 215, 231, 232, 237, 240, 241, 244) Securities in an IRA Account with Morgan Stanley.

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

(9) (Lines 125, 184, 211, 223, 227, 228, 233, 234, 235, 245) Securities in Family Trust with Morgan Stanley.

(10) (Line 94) Checking Account

(11) (Lines 10, 165, 212, 222, 242) Securities in a Brokerage Account with Morgan Stanley.

(12) (Lines 99, 166, 173, 193, 194, 197, 221, 243) Securities in Brokerage Account with Morgan Stanley.

(68) (Line 229, 245) Name change from NRG Yield Inc. Class A to Clearway Energy, Inc. Class A

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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