

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) Heffley, Marilyn	2. Court or Organization United States District Court Room 4001	3. Date of Report 01/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE - FULL TIME	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 UNITED STATES COURTHOUSE 601 MARKET STREET - ROOM 4001 PHILADELPHIA, PA 19106-1768		
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.		
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. PORTIN HOFFMAN FINANCIAL GROUP ADVISORY RETIREMENT SWEEP PROGRAM	A	Interest	K	T					
2. AMERICAN AMCAP FUND F2	A	Dividend	K	T					
3. AMERICAN AMCAP FUND F2	C	Distribution	K	T					
4. AQR MANAGED FUTURES FUND CL I	A	Dividend	K	T					
5. JOHN HANCOCK DISCIPL INED VALUE MID CAP I	A	Dividend	K	T					
6. JOHN HANCOCK DISCIPL INED VALUE MID CAP I	C	Distribution	K	T					
7. OPPENHEIMER DEV MARKETS CLASS Y	A	Dividend	K	T					
8. PIMCO ALL ASSET ALL AUTHORITY- INSTIT CL	C	Dividend	L	T					
9. T ROWE PRICE BLUE CHIP GROWTH INC	A	Dividend	K	T					
10. T ROWE PRICE BLUE CHIP GROWTH INC	B	Distribution	K	T					
11. THE HARTFORD INTL OPPT FD CLASS I	A	Dividend	K	T					
12. THE HARTFORD INTL OPPT FD CLASS I	B	Distribution	K	T					
13. UNDISCOVERED MGRS BEHAVIOR VALUE CL L	A	Dividend	K	T					
14. UNDISCOVERED MGRS BEHAVIOR VALUE CL L	C	Distribution	K	T					
15. VANGUARD EQUITY INCOME INVESTOR CL	B	Dividend	L	T					
16. VANGUARD EQUITY INCOME INVESTOR CL	D	Distribution	L	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	F = \$50,001 - \$100,000 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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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17. AB GLOBAL BOND ADVISOR CLASS	A	Dividend	K	T					
18. BLACKROCK FLOATING RATE INC PORT INSTL	B	Dividend	K	T					
19. BLACKROCK FLOATING RATE INC PORT INSTL	A	Distribution	K	T					
20. EATON VANCE INCOME FUND OF BOSTON CL I	B	Dividend	K	T					
21. JOHN HANCOCK BOND FUND CLASS I	B	Dividend	L	T	Buy	04/12/18	L		
22. LORD ABBETT SHORT DURATION INCOME CL F	A	Dividend	K	T					
23. GUARDIAN LIFE INS & ANNUITY CO (VARIABLE ANNUITY IRA PLAN)			M	T					
24. LIFE INS SUB ACCOUNT: AB VPS GROWTH & INCOME PORTFOLIO CLASS B	A	Dividend	J	T					
25. LIFE INS SUB ACCOUNT: BLACK ROCK CAPITAL APPRECIATION SERIES I	A	Dividend	J	T					
26. LIFE INS SUB ACCOUNT: BLACK ROCK ADVANTAGE LARGE CAP CORE CL LL	A	Dividend	J	T					
27. LIFE INS SUB ACCOUNT: COLUMBIA VARIABLE PORTFOLIO SMALL CAP VA	A	Dividend	J	T					
28. LIFE INS SUB ACCOUNT: FIDELITY VIP CONTRAFUND SRCL2	A	Dividend	J	T					
29. LIFE INS SUB ACCOUNT: FIDELITY VIP MIDCAP PORT SRCL2	A	Dividend	J	T					
30. LIFE INS SUB ACCOUNT: FRANKLIN SMALL CAP VALUE VIP FUND CLASS	A	Dividend	J	T					
31. LIFE INS SUB ACCOUNT: FRANKLIN US GOVERNMENT SECURITIES VIP FUN	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	
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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32. LIFE INS SUB ACCOUNT: GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend	J	T					
33. LIFE INS SUB ACCOUNT: GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T					
34. LIFE INS SUB ACCOUNT: JANUS HENDERSON GLOBAL TECHNOLOGY PORTFO	A	Dividend	J	T					
35. LIFE INS SUB ACCOUNT: MFS VIT UTILITIES SERIES SC	A	Dividend	J	T					
36. LIFE INS SUB ACCOUNT: OPPENHEIMER GLOBAL STRATEGIC INCOME/VA S	A	Dividend	K	T					
37. LIFE INS SUB ACCOUNT: OPPENHEIMER MAIN STREET SMALL CAP FUND/V	A	Dividend	J	T					
38. LIFE INS SUB ACCOUNT: PIMCO TOTAL RETURN ADVISOT CL	A	Dividend	J	T					
39. LIFE INS SUB ACCOUNT: PIONEER MID CAP VALUE VCT CL II	A	Dividend	J	T					
40. LIFE INS SUB ACCOUNT: VICTORY INCORE INVESTMENT QUALITY BOND V	A	Dividend	K	T					
41. LIFE INS SUB ACCOUNT: VICTORY INCORE LOW DURATION BOND VIP SER	A	Dividend	J	T					
42. LIFE INS SUB ACCOUNT: VICTORY RS LARGE CAP ALPHA VIP SERIES	A	Dividend	J	T					
43. JOHN HANCOCK FUNDS STRATEGIC INCOME OPPORTUNITIES FUND CL I	A	Dividend			Sold	04/12/18	L	D	
44. PORTIN HOFFMAN FINANCIAL GROUP ADVISORY RETIREMENT SWEEP PROGRAM	A	Interest	J	T					
45. AMERICAN AMCAP FUND F2	A	Dividend	K	T					
46. AMERICAN AMCAP FUND F2	C	Distribution	K	T					

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47. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Dividend			Sold (part)	12/10/18	J	A	
48. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Distribution	K	T					
49. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Dividend	K	T	Buy	09/10/18	K		
50. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Distribution	K	T					
51. HARDING LOEVNER INST EMERGING MRKTS CL I	A	Dividend	K	T					
52. PARNASSUS MID CAP	A	Dividend	K	T					
53. PARNASSUS MID CAP	A	Distribution	K	T					
54. VANGUARD EQUITY INCOME INVESTOR CL	A	Dividend	K	T					
55. VANGUARD EQUITY INCOME INVESTOR CL	B	Distribution	K	T					
56. ZACKS SMALL-CAP CORE FUND	A	Dividend	K	T					
57. ZACKS SMALL-CAP CORE FUND	B	Distribution	K	T					
58. AB GLOBAL BOND ADVISOR CLASS	A	Dividend	J	T	Sold (part)	12/10/18	J	A	
59. BLACKROCK STRATEGIC INCOME OPPRSI INSTL	B	Dividend	K	T					
60. COLUMBIA STRATEGIC INCOME FUND ADV	B	Dividend			Sold (part)	12/10/18	J	A	
61. COLUMBIA STRATEGIC INCOME FUND ADV	A	Distribution	K	T					
62. EATON VANCE FLOATING RATE ADVANTAGE CL I	A	Dividend	J	T					
63. LORD ABBETT SHORT DURATION INCOME CL F	A	Dividend	K	T					

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64. JOHN HANCOCK FUNDS GLOBAL ABSOLUTE RETURN STRATEGIES FUND CL I	A	Dividend			Sold	09/10/18	K	A	
65. PORTIN HOFFMAN FINANCIAL GROUP BANK DEPOSIT SWEEP PROGRAM	A	Interest	L	T					
66. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Dividend	K	T	Buy	04/12/18	K		
67. AMERICAN EUROPACIFIC GROWTH FUND CL F2	B	Distribution	K	T					
68. AMERICAN FUNDAMENTAL INVESTORS CL F2	A	Dividend	K	T					
69. AMERICAN FUNDAMENTAL INVESTORS CL F2	B	Distribution	K	T					
70. AMERICAN GROWTH FUND OF AMERICA CL F2	A	Dividend	K	T					
71. AMERICAN GROWTH FUND OF AMERICA CL F2	B	Distribution	K	T					
72. DREYFUS GLOBAL REAL RETURN CL I	B	Dividend	K	T					
73. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Dividend	K	T	Buy	09/10/18	K		
74. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Distribution	K	T					
75. HARDING LOEVNER INST EMERGING MRKTS CL I	A	Dividend	K	T					
76. JPMORGAN EQUITY INCOME CLASS I	B	Dividend	L	T					
77. JPMORGAN EQUITY INCOME CLASS I	B	Distribution	L	T					
78. PARNASSUS MID CAP	A	Dividend	K	T					
79. PARNASSUS MID CAP	A	Distribution	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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80. T ROWE PRICE BLUE CHIP GROWTH INC	A	Dividend	L	T					
81. T ROWE PRICE BLUE CHIP GROWTH INC	B	Distribution	L	T					
82. TWEEDY BROWNE GLOBAL VALUE FUND	A	Dividend			Sold (part)	04/12/18	K	A	
83. TWEEDY BROWNE GLOBAL VALUE FUND	B	Distribution	K	T					
84. AB GLOBAL BOND ADVISOR CLASS	A	Dividend	K	T					
85. BLACKROCK PA MUNI BOND FD INSTL	B	Dividend	J	T	Sold (part)	10/30/18	L	A	
86. EATON VANCE FLOATING RATE ADVANTAGE CL I	B	Dividend	K	T					
87. FIDELITY TOTAL BOND	B	Dividend	K	T					
88. NUVEEN PA MUNICIPAL BOND CL I	A	Dividend	L	T	Buy	10/30/18	L		
89. NUVEEN PA MUNICIPAL BOND CL I	A	Distribution	L	T					
90. PGIM ABSOLUTE RETURN BOND CL Z	A	Dividend	K	T	Buy	12/17/18	K		
91. ISHARES CORE S&P SMALL-CAP E	A	Dividend	K	T	Buy	12/18/18	K		
92. BLACKROCK STRATEGIC INCOME OPPRTSI INSTL	B	Dividend			Sold	12/17/18	K	A	
93. ZACKS SMALL-CAP CORE FUND	C	Distribution			Sold	12/18/18	K	A	
94. ENTRUSTPERMAL ALTER CORE FUND CL I	A	Dividend			Sold	9/10/18	K	A	
95. PNC SAVINGS ACCOUNT	A	Interest	J	T					
96. MERILL EDGE CASH MANAGEMENT	A	Interest	N	T					

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97. SUN COKE ENERGY	A	Dividend	J	T					
98. COLUMBIA VP SMALL-CAP VALUE	A	Dividend	J	T	Buy	02/02/18	J		
99. RS LOW DURATION BOND VIP SERIES	A	Dividend	J	T	Buy	02/02/18	J		
100. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
101. OPPENHEIMER MAIN STREET SMALL- CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
102. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
103. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
104. FRANKLIN U.S. GOV'T SECURITIES VIP FUND - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
105. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
106. FRANKLIN SMALL-CAP VALUE VIP FUND CL - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/02/18	J		
107. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	04/06/18	J		
108. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	05/04/18	J		
109. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/05/18	J		
110. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	05/05/18	J		
111. ALLIANCEBERNSTEIN VPS G&I PORTFOLIO CL B	A	Dividend	J	T	Buy	05/05/18	J		
112. RS LARGE-CAP ALPHA VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/05/18	J		
113. PIONEER MID-CAP VALUE VCT CL II - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/05/18	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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Name of Person Reporting

Heffley, Marilyn

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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)
114. FIDELITY VIP CONTRAFUND SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/05/18	J		
115. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	08/04/18	J		
116. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
117. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
118. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
119. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
120. PIONEER MID-CAP VALUE VCT CL II - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
121. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
122. FRANKLIN U.S. GOV'T SECURITIES VIP FUND - GUARD INV B SERIES	A	Dividend	J	T	Buy	08/04/18	J		
123. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend	J	T	Buy	11/03/18	J		
124. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
125. COLUMBIA VP SMALL-CAP VALUE	A	Dividend	J	T	Buy	11/03/18	J		
126. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	11/03/18	J		
127. BLACKROCK CAPITAL APPRECIATION SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
128. JANUS ASPEN GLOBAL TECH. SS - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
129. OPPENHEIMER MAIN STREET SMALL- CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	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)
130. RS LARGE-CAP ALPHA VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
131. PIONEER MID-CAP VALUE VCT CL II - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
132. FRANKLIN SMALL-CAP VALUE VIP FUND CL - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
133. COLUMBIA VP SMALL-CAP VALUE - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
134. FIDELITY VIP CONTRAFUND SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/03/18	J		
135. INVESCO VI INTERNATIONAL GROWTH SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
136. BLACKROCK CAPITAL APPRECIATION SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
137. JANUS ASPEN GLOBAL TECH. SS - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
138. ALLIANCEBERNSTEIN VPS G&I PORTFOLIO CL B	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
139. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
140. FIDELITY VIP CONTRAFUND SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
141. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
142. WELLS FARGO VT INTERNATIONAL EQUITY FUND - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
143. RS LARGE-CAP ALPHA VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
144. PIONEER MID-CAP VALUE VCT CL II - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
145. INVESCO VI INTERNATIONAL GROWTH SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	04/06/18	J	A	

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)
146. WELLS FARGO VT INTERNATIONAL EQUITY FUND - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	04/06/18	J	A	
147. BLACKROCK CAPITAL APPRECIATION SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
148. JANUS ASPEN GLOBAL TECH. SS - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
149. COLUMBIA VP SMALL-CAP VALUE - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
150. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
151. OPPENHEIMER MAIN STREET SMALL-CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
152. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
153. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
154. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
155. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
156. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
157. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
158. FRANKLIN SMALL-CAP VALUE VIP FUND CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
159. FRANKLIN U.S. GOV'T SECURITIES VIP FUND - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	05/05/18	J	A	
160. BLACKROCK CAPITAL APPRECIATION SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
161. JANUS ASPEN GLOBAL TECH. SS - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	

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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Heffley, Marilyn

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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)
162. ALLIANCEBERNSTEIN VPS G&I PORTFOLIO CL B	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
163. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
164. FIDELITY VIP CONTRAFUND SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
165. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
166. COLUMBIA VP SMALL-CAP VALUE - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
167. OPPENHEIMER MAIN STREET SMALL- CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
168. RS LARGE-CAP ALPHA VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
169. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
170. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
171. FRANKLIN SMALL-CAP VALUE VIP FUND CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	08/04/18	J	A	
172. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
173. BLACKROCK CAPITAL APPRECIATION SERIES I - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
174. JANUS ASPEN GLOBAL TECH. SS - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
175. ALLIANCEBERNSTEIN VPS G&I PORTFOLIO CL B	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
176. FIDELITY VIP CONTRAFUND SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
177. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	

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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Name of Person Reporting

Heffley, Marilyn

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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)
178. COLUMBIA VP SMALL-CAP VALUE - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
179. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
180. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
181. OPPENHEIMER MAIN STREET SMALL- CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
182. OPPENHEIMER MAIN STREET SMALL- CAP FUND/VA-GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
183. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
184. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
185. RS LARGE-CAP ALPHA VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
186. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
187. PIONEER MID-CAP VALUE VCT CL II - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
188. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
189. FRANKLIN U.S. GOV'T SECURITIES VIP FUND - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
190. FRANKLIN SMALL-CAP VALUE VIP FUND CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	09/14/18	J	A	
191. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/02/18	J	A	
192. ALLIANCEBERNSTEIN VPS G&I PORTFOLIO CL B	A	Dividend	J	T	Sold (part)	11/02/18	J	A	
193. OPPENHEIMER GLOBAL STRATEGIC INCOMEVA S - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/02/18	J	A	
194. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/03/18	J	A	

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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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)
195. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/03/18	J	A	
196. PIMCO TOTAL RETURN ADVISOR CL - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/03/18	J	A	
197. MFS VIT UTILITIES SERIES SC - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/03/18	J	A	
198. FRANKLIN U.S. GOV'T SECURITIES VIP FUND - GUARD INV B SERIES	A	Dividend	J	T	Sold (part)	11/03/18	J	A	

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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Name of Person Reporting

Heffley, Marilyn

Date of Report

01/10/2020

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

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Name of Person Reporting

Heffley, Marilyn

Date of Report

01/10/2020

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/ Marilyn Heffley**

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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One Columbus Circle, N.E.
Washington, D.C. 20544