

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) Pappert, Gerald J.	2. Court or Organization U.S. Court, Eastern District of Pennsylvania	3. Date of Report 5/6/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 601 Market Street, Room 5614 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.	General Partner	Marza, L.P.
2.	Trustee	Trust No 1
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. 2001	Pennsylvania State Employee's Retirement System Defined Benefit Pension Plan
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. 2018	Pennsylvania State Retirement Benefits	\$8,451.72
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.)*

	<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.			

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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. WAUTOSA WIS GO PROM NTS SER	B	Interest	M	T					
2. APPLE INC NOTE CALL MAKE WHOLE	A	Interest	K	T					
3. BOONE CNTY KY SCH DIST FIN CORP SCH	C	Interest	M	T					
4. CENTRAL GREENE PA SCH DIST GO BDS	B	Interest	M	T					
5. DISCOVER BK GREENWOOD DEL	A	Interest	K	T					
6. GOLDMAN SACHS BK USA NY CD	A	Interest	K	T					
7. GREENFIELD MASS GO MUNI PURP LN SER	A	Interest			Redeemed	02/01/18	L		
8. JACKSON CNTY MO REORG SCH DIST NO 01	B	Interest	M	T					
9. MERCK & CO INC	A	Interest			Redeemed	05/18/18	K	A	
10. MORRIS PLAINS NJ SCH DIST	C	Interest	M	T					
11. MORRIS TWP N J GO BDS	B	Interest	M	T					
12. MOUNT LEBANON PA GO BDS SER	C	Interest	M	T					
13. ORACLE CORP BOND CALL MAKE WHOLE	A	Interest	K	T					
14. PARK CITY KANS GO REF BDS SER	B	Interest	M	T					
15. PFIZER INC NOTE CALL MAKE WHOLE	A	Interest	K	T					
16. PHELPS-CLIFTON SPRINGS N Y CENT SCH	B	Interest			Redeemed	06/15/18	M		
17. PIKE CNTY KY SCH DIST FIN CORP SCH	C	Interest			Redeemed	11/01/18	M		

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 = \$250,000.01 - \$500,000.00	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. ROMEO MICH CMNTY SCH DIST GO ULTD TAC SCH	B	Interest	M	T					
19. SWATARA TWP PA GO BDS SER	B	Interest			Redeemed	10/01/18	M	A	
20. TOYOTA FINL SVGS BK HEND NV	A	Interest	K	T					
21. UNIVERSITY NORTHN IOWA UNIV REVS DORM	A	Interest			Redeemed	07/02/18	K		
22. WENTZVILLE R-IV DIST MO LEASE	C	Interest	M	T					
23. AMERICAN EUROPACIFIC GROWTH CLASS F1		None	J	T					
24. AMERICAN EUROPACIFIC GROWTH CLASS F2	C	Dividend	M	T					
25.	D	Distribution							
26. CALAMOS MARKET NEUTRAL INCOME CL I	D	Dividend	K	T	Buy (add'l)	01/03/18	J		
27.	D	Distribution			Buy (add'l)	09/06/18	L		
28.					Buy (add'l)	09/21/18	J		
29.					Sold (part)	06/22/18	J	B	
30.					Sold (part)	12/27/18	N		
31. CALAMOS MARKET NEUTRAL INCOME CL A	A	Dividend	J	T	Buy (add'l)	01/03/18	J		
32. ISHARES TR JP MOR EM MK EFT	D	Dividend	K	T	Buy	01/05/18	K		
33.					Sold (part)	09/05/18	L		
34.					Sold (part)	11/13/18	N		

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	
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35.					Sold (part)	11/23/18	J		
36. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
37. FIDELITY TOTAL BOND	A	Dividend	J	T	Sold (part)	02/20/18	K		
38.					Sold (part)	03/01/18	J		
39.					Buy (add'l)	03/06/18	J		
40. FIDELITY 500 INDEX PREMIUM CLASS	A	Dividend	J	T	Sold (part)	06/22/18	J	C	
41.	A	Distribution							
42. FIDELITY TREASURY MONEY MARKET FUND	B	Dividend	M	T					
43. GATEWAY FUND CLASS A	A	Dividend	J	T	Buy (add'l)	01/04/18	J		
44.					Buy (add'l)	03/07/18	J		
45. GATEWAY FUND CLASS Y	C	Dividend	N	T	Buy (add'l)	02/20/18	K		
46.					Buy (add'l)	09/06/18	K		
47.					Buy (add'l)	09/21/18	J		
48. ISHARE INC CORE MSCI EMERGING MKTS ETF	C	Dividend	O	T	Buy (add'l)	07/26/18	J		
49.					Buy (add'l)	12/18/18	M		
50.					Sold (part)	01/03/18	J	A	
51.					Sold (part)	11/14/18	L		

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52. ISHARES CORE S&P MID-CAP EFT	D	Dividend	N	T	Buy (add'l)	11/12/18	J		
53. ISHARES CORE S&P SMALL-CAP ETF	B	Dividend	M	T	Sold (part)	01/16/18	J	A	
54.					Sold (part)	05/18/18	J	A	
55. ISHARES CORE S&P 500 ETF	F	Dividend	P1	T	Sold (part)	01/22/18	J	C	
56.					Sold (part)	02/01/18	J	B	
57.					Sold (part)	03/05/18	J	C	
58. ISHARES RUSSELL 2000 ETF	C	Dividend	N	T					
59. ISHARES TR CORE MSCI TOTAL	D	Dividend	M	T	Buy (add'l)	11/14/18	L		
60.					Sold (part)	12/18/18	L		
61. ISHARES US TECHNOLOGY ETF	A	Dividend	L	T	Sold (part)	01/03/18	J	C	
62.					Sold (part)	03/28/18	K	D	
63. MERGER FUND	A	Dividend	J	T					
64.	A	Distribution							
65. INDEXIQ ETF IQ ARB MERGER ARBITRAGE ETF		None	N	T	Buy (add'l)	01/04/18	J		
66. PIMCO COMMODITY REAL RETURNS INST	B	Dividend			Sold	09/05/18	L		
67. PIMCO COMMODITY REAL RET STRAT ADMIN CL	A	Dividend			Sold	09/05/18	J	A	
68. ISHARES TIPS BOND ETF	C	Dividend			Buy (add'l)	01/17/18	J		

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69.					Sold	09/04/18	M		
70. VANGUARD INDEX FDS VANGUARD TOTAL STK MKT ETF	B	Dividend	M	T					
71. DOW JONES WILSHIRE 5000 INDEX PORT INVT	A	Dividend			Buy (add'l)	03/06/18	J		
72.					Sold	07/09/18	J	B	
73. WELLS FARGO PREMIER LARGE CO GRWTH ADMIN	B	Distribution	J	T					
74. AMERICAN WASHINGTON MUTUAL INVESTORS F2	D	Dividend	N	T	Sold (part)	01/29/18	J	D	
75.	E	Distribution			Sold (part)	02/20/18	L	E	
76.					Sold (part)	03/05/18	K	E	
77.					Sold (part)	03/28/18	K	D	
78.					Sold (part)	04/13/18	K	D	
79.					Sold (part)	05/29/18	K	D	
80. EXXON MOBIL CORP (X)	B	Dividend	K	T					
81. FLBEACH, OC, LLC	B	Distribution	K	U					
82. ALTOONA NPPE, LP	C	Distribution	L	U					
83. FIXED ACCOUNT	B	Interest	K	T					
84. 1 YEAR INDEX FUND S&P500	D	Interest	M	T					
85. 1 YEAR INTERNATIONAL INDEX FUND EURO STOCK 500	B	Interest	L	T					

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86. URBAN STORAGE FUND, LP		None	M	U					
87. VILLAGE OF CANTERBURY, LP		None	M	U					
88. HONEY FARMS MANAGEMENT, LLC	D	Interest	L	U					
89. PACIRA PHARMACEUTICALS INC		None			Sold	03/21/18	J		
90. ISHARES CORE MSCI EAFE ETF	D	Dividend	N	T	Buy	03/22/18	J		
91.					Buy (add'l)	04/13/18	J		
92.					Buy (add'l)	07/16/18	J		
93.					Buy (add'l)	12/18/18	J		
94.					Sold (part)	11/14/18	M		
95. FIDELITY INTERM MUNI INCOME	B	Dividend	M	T	Buy	02/20/18	K		
96.	A	Distribution			Buy (add'l)	06/19/18	M		
97. HEMPFIELD PA AREA SCHOOL 3/15/2024		None	M	T	Buy	10/01/18	M		
98. HURST TEX TAX & WATER & SEWER 08/15/22		None	M	T	Buy	11/06/18	M		
99. ISHARES FLOATING RATE EFT	B	Dividend	N	T	Buy	11/13/18	M		
100.					Buy (add'l)	11/28/18	M		
101. MISSOULA COUNTY MNT HIGH 07/01/2024	A	Interest	L	T	Buy	02/20/18	L		
102. WESTWOOD HEIGHTS MICH SCHOOL 05/01/2021	B	Interest	M	T	Buy	03/28/18	M		

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103. IQ HEDGE MULTI-STRATEGY TRACKER EFT		None	N	T	Buy	12/27/18	N		
104. FIDELITY INFLAT-PROT BOND INDEX PREMIUM	A	Dividend	J	T	Buy	09/06/18	M		
105. FIDELITY INFLAT-PROT BOND INDEX FUND	A	Dividend	K	T	Sold (part)	11/28/18	M		
106. MICROSOFT CORP NOTE 11/03/22	A	Interest	K	T	Buy	05/22/18	K		
107. STATE BK INDIA NEW YORK 3/06/2023	A	Interest	K	T	Buy	03/01/18	K		
108. FIDELITY TOTAL MARKET INDEX PREMIUM CL		None	J	T	Buy	07/10/18	J		
109. FIDELTY TOTAL MARKET INDEX FUND	A	Dividend	J	T					
110.	A	Distribution							
111. FIDELITY ADVISOR TOTAL BOND CL Z	A	Dividend	J	T	Buy (add'l)	09/07/18	J		
112.					Buy (add'l)	09/21/18	J		
113. FIDELITY 500 INDEX FUND	A	Dividend	J	T					
114.	A	Distribution							

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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

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

Trust No. 1, listed on line 2 of Part I of this Report, is an unfunded Trust.

Line 24 - merged with line 23 on 03/19/18.

Line 26 - merged with line 31 on 03/22/18.

Line 37 - merged with line 111 on 05/24/18.

Line 40 - merged with line 113 on 11/02/18

Line 43 - merged with line 45 on 04/02/18.

Line 81 - FLBeach, OC LLC was purchased 08/01/2014 \$50,000

Line 81 - FL Beach Income coded as a distribution, based on K-1. In the past was coded as Interest

Line 82 - Altoona NPPE, LP was purchased 10/28/2015 \$100,000

Line 86 - Urban Storage Fund, LP was purchased 07/03/13 \$100,000 & Additional purchase on 04/04/2014 \$100,000

Line 87 - Village of Centerbury, LP was purchased 04/12/2012 \$150,000

Line 88 - Honey Farms Management, LLC was purchased on 11/04/2016 \$100,000

Line 108 - merged with line 109 on 11/02/18.

Line 183 from the 2017 report - asset removed, because it consisted of lines 184, 185, & 186 listed.

Lines 25, 27, 41, 64, 73, 75, 96, 110, 114 Income coded as distributions are Capital Gains.

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Name of Person Reporting

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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/ Gerald J. Pappert**

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