

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 State District Court Room 4001	3. Date of Report 09/21/2015
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 01/01/2014 to 12/31/2014
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	EXECUTRIX	ESTATE [REDACTED]
2.	TRUSTEE	[REDACTED] REVOCABLE TRUST
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.		
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. 2014	Reed Smith	\$207,100.00
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.)*

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.)*

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. -Marilyn Heffley Individual NFS									
2. Bank Deposit Sweep Program QPRMQ	A	Interest	M	T					
3. John Hancock Funds Global Absolute Return Strategies Fund CI I	B	Dividend	K	T	Buy	01/23/14	J		
4.					Buy (add'l)	04/07/14	J		
5.					Buy (add'l)	10/31/14	J		
6. Aston / Fairpointe Mid-Cap Fund CI N	A	Dividend	K	T	Buy	01/23/14	J		
7.					Buy (add'l)	02/24/14	J		
8.					Buy (add'l)	04/07/14	J		
9.					Buy (add'l)	07/31/14	J		
10. Blackrock Equity Dividend Fund CI Institutional	A	Dividend			Buy	01/23/14	J		
11.					Buy (add'l)	02/24/14	J		
12.					Buy (add'l)	07/31/14	J		
13.					Buy (add'l)	08/07/14	J		
14.					Sold	10/31/14	L	D	
15. Legg Mason BW Global Opportunities Bond Fund CI I	B	Dividend	K	T	Buy	02/24/14	J		
16. T Rowe Price Growth Stock Fund	A	Dividend			Buy	02/24/14	J		
17.					Buy (add'l)	04/07/14	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	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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☐ 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)
18.					Buy (add'l)	07/31/14	J		
19.					Sold	08/22/14	L	D	
20. BlackRock PA Municipal Bond Fund Institutional Shares	C	Int./Div.	L	T	Buy	02/24/14	J		
21. Harding Loevner Institutional Emerging Markets Portfolio	A	Dividend	K	T	Buy	02/24/14	J		
22. John Hancock Funds Strategic Income Opportunities Fund	B	Dividend	K	T	Buy	04/07/14	J		
23. Cambiar Small-Cap Fund CI Investor	A	Dividend	K	T	Buy	04/07/14	J		
24.					Buy (add'l)	05/06/14	J		
25. Prudential Global Real Estate CI Z	A	Dividend	J	T	Buy	05/06/14	J		
26. AQR Managed Futures Strategy Fund CI	B	Dividend	K	T	Buy	05/06/14	J		
27. Tweedy, Browne Global Value Fund	B	Dividend	L	T	Buy	05/06/14	J		
28.					Buy (add'l)	07/31/14	J		
29.					Buy (add'l)	08/07/14	J		
30. T Rowe Price Blue Chip Growth Fund	A	Dividend	L	T	Buy	08/22/14	L		
31. JPMorgan Equity Income Fund Select	A	Dividend	L	T	Buy	10/31/14	L		
32. American Fundamental Investors CL F2	A	Dividend	J	T					
33. American Growth Fund of America CL F2	A	Dividend	J	T					
34. Pimco All Asset All Authority Instit CL	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 = \$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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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)

35. Prudential Absolute Return Bond FD CL Z	A	Dividend	K	T					
36.									
37. PNC Saving Account	A	Interest	J	T					
38. Merrill Edge Cash Management Account	A	Interest	J	T					
39. Energy Transfer Partners, LP	A	Distribution	K	T					
40. Prime Fund Capital Reserve CI FPRRXX	A	Interest	J	T					
41. Marilyn Heffley IRA Rollover	E	Dividend	O	T					
42. - Bank Deposit Sweep Program QPRMQ									
43. - MainStay Large-Cap Growth Fund CI I					Buy	04/07/14	J		
44.					Buy (add'l)	07/31/14	J		
45. - MainStay Large-Cap Growth Fund CI I					Sold	10/31/14	L		
46. - Manning & Napier World Opportunities Fund					Buy	04/07/14	J		
47.					Buy (add'l)	05/15/14	J		
48.					Buy (add'l)	07/31/14	J		
49.					Sold	10/31/14	K		
50. - Heartland Value Plus					Buy	07/31/14	J		
51.					Sold	10/31/14	K		

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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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. - Vanguard Equity-Income Fund Investor Shares					Buy	04/07/14	J		
53.					Buy (add'l)	07/31/14	J		
54. - John Hancock Funds Strategic Income Opportunities Fund					Buy	04/07/14	J		
55.					Buy (add'l)	05/15/14	J		
56.					Buy (add'l)	08/22/14	J		
57. - AQR Managed Futures Strategy Fund					Buy	05/15/14	J		
58.					Buy (add'l)	08/22/14	J		
59. - Artisan Mid-Cap Value Fund Investor CI					Buy	08/22/14	J		
60. - Eaton Vance Income Fund of Boston CI					Buy	08/22/14	J		
61. - PIMCO All Asset All Authority Fund Institutional					Buy	08/22/14	J		
62. - Dodge & Cox International Stock Fund					Buy	10/31/14	K		
63. - T. Rowe Price Blue Chip Growth Fund					Buy	10/31/14	K		
64. - Undiscovered Managers Behavioral Value Fund Institutional CI					Buy	10/31/14	K		
65. - American Funds AMCAP CI F-2					Buy	10/31/14	K		
66. - Oppenheimer Dev Markets FD Class Y									
67. - BlackRock Floating Rate Inc Port Instl									
68. - Templeton Global Bond Advisor Class									

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69. Marilyn Heffley IRA Guardian Life Insurance		None	M	T					
70. - BlackRock Capital Appreciation Series I									
71. - BlackRock Large Cap Core CL III									
72. - Columbia Variable Portfolio Seligman Glo									
73. - Columbia Variable Portfolio Small Cap VA									
74. - Fidelity VIP Contrafund SRCL2									
75. - Fidelity VIP Midcap Port SRCL2									
76. - Franklin Small Cap Value VIP Fund Class									
77. - Franklin US Government Securities VIP Fu									
78. - Invesco VI International Growth Series									
79. - MFS VIT Utilities Series SC									
80. - Oppenheimer Global Strategic Income/VA S									
81. - Oppenheimer Main Street Small Cap Fund/V									
82. - PIMCO Total Return Advisor CL									
83. - Pioneer Disciplined Value VCT Portfolio									
84. - Pioneer Mid Cap Value VCT CL II									
85. - RS INV Quality Bond VIP Series									

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86. - RS Large Cap Alpha VIP Series					Buy	01/01/14	J		
87. - RS Low Duration Bond VIP Series									
88. - Wells Fargo Advantage VT International					Buy	01/01/14	J		
89.									
90. Marilyn Heffley IRA	E	Dividend	M	T					
91. - Western Asset Inflation Indexed Plus Bond Fund					Sold (part)	12/22/14	J		
92. - BlackRock Strategic Income Opportunities Portfolio CI Institutional					Sold (part)	12/22/14	J		
93. - American AMCAP Fund F2									
94. - AQR Managed Futures Fund CL I									
95. - Aston/Fairpointe Mid Cap Fund CL N									
96. - Cambiar Small Cap Fund Investor CL									
97. - Harding Loevner Inst Emerging Mkts CL I									
98. - John Hancock GL Abso Return Strats CL I									
99. - Prudential Global Value Fund									
100. - Tweedy Browne Global Value Fund									
101. - Vanguard Equity Income Investor CL									
102. - Federated Short Term Income FD CL Y									

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103. - Goldman Sachs Emrg Markets									
104. - PIMCO Total Return Fund CL P									
105. - Prudential Absolute Return Bond FD CL Z									
106. - Templeton Global Bond Advisor Class									
107. Bank Deposit Sweep Program QPRMQ									
108. Marilyn Heffley IRA Guardian Life Insurance Company	D	Dividend	M	T					
109. - Oppenheimer Strategy Bnd Fund/VA SVC- Annuity B-Series									
110. - RS Inv Quality Bond VIP Series -									
111. - RS Core Equity VIP Series									
112. - PIMCO VIT Total Return Advantage									
113. - BlackRock Large-Cap Core V.I. 3 -									
114. - Fidelity VIP Contrafund Srel2									
115. - Franklin U.S. Government C12									
116. - RS Low Duration Bond VIP Series									
117. - Pioneer Mid-Cap Value VCT II									
118. - Pioneer Cullen Value VCT II									
119. - BlackRock Capital Appreciation Series 1									

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120. - Evergreen VA International Equity 2									
121. - Oppenheimer Main St Small Cap/VA SVC									
122. - Fidelity VIP Mid-Cap Portfolio Srel2									
123. - Seligman Portfolio Communications & Information 2									
124. - Columbia VIT Small-Cap Value CL B									
125. - Franklin Small-Cap Value Sec Class 2									
126. - Invesco V.I. International Growth Series I									
127. - MFS VIT Utilities Series - SC - Variable Annuity									
128.									
129. Reed Smith (X)	A	Interest	J	U					
130. SunCoke Energy (X)	A	Dividend	J	T					
131.									
132.									
133. [REDACTED] Revocable Turst	B	Interest	K	T					
134. - Fulton Bank									
135. - [REDACTED] Residence [REDACTED]					Sold	05/30/14	M		
136. Estate [REDACTED]	B	Interest	M	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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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. - Fulton Bank									
138. RS Core Equity VIP Series					Sold	01/01/14	J	A	
139. Evergreen VA International Equity 2					Sold	01/01/14	J	A	
140.									
141.									
142.									

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

The 2014 Disclosure Report has been amended for the following reasons:

- Line #40 has been added to disclose the taxpayer's interest in the Prime Fund Capital Reserve Fund.
- Line #69 has been adjusted to change the description of the asset from "Guardian Life Insurance and Annuity" to "Marilyn Heffley IRA Guardian Life Insurance Company" to correspond to 2013 report line #107.
- Line #86 and #88 column D has been adjusted to reflect new sub account allocations for assets in the taxpayers IRA Annuity.
- Line #107 has been added to disclose the taxpayers interest in the Bank Deposit Sweep Program - QPRMQ.
- Lines #129 and #130 has been adjusted to show a parenthetical "(X)" next to the assets to show assets, which have become reportable during the year.
- Line #131 has been deleted because it duplicately reports the Publicly Traded Partnership show on Line #39.
- Line #138 and #139 have been added to reflect prior period sub account allocations for assets in the taxpayer's IRA Annuity, which were disposed of/ do not repeat at year end 2014.

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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/ 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
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