

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/10/2018
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 01/01/2017 to 12/31/2017
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2017	UNITED STATES JUDGES	\$185,503.00
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.)*

<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. Marilyn Heffley Individual NFS (H)									
2. -Bank Deposit Sweep Program QPRMQ	A	Interest	K	T					
3. -American Fundamental Investors CL F2	B	Dividend	K	T					
4. -American Growth Fund of America CL F2	B	Dividend	K	T					
5. -Dreyfus Global Real Return CI I	A	Dividend	K	T	Buy (add'l)	08/18/17	J		
6. -Harding Loevner Institutional Emerging Markets Portfolio CI I	A	Dividend	K	T					
7. -JPMorgan Equity Income Fund Select CI	B	Dividend	L	T	Sold (part)	08/18/17	J	B	
8. -Parnassus Mid-Cap Fund	B	Dividend	K	T					
9. -T. Rowe Price Blue Chip Growth Fund	B	Dividend	L	T	Sold (part)	05/31/17	J	B	
10.					Sold (part)	08/18/17	J	C	
11. -Tweedy, Browne Global Value Fund	B	Dividend	L	T					
12. -Zacks Small-Cap Core Fund	D	Dividend	K	T					
13. -AllianceBernstein Global Bond Fund Advisor CI	A	Dividend	K	T					
14. -BlackRock PA Municipal Bond Fund Institutional Shares	C	Dividend	L	T	Buy (add'l)	08/18/17	J		
15. -BlackRock Strategic Income Opportunities Portfolio CI Institutional	B	Dividend	K	T					
16. -Eaton Vance Floating-Rate Advantage Fund CI I	A	Dividend	K	T					
17. -Fidelity Total Bond Fund	B	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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	H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	H2 = 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.)

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18. -Permal Alternative Core Fund CI I	A	Dividend	K	T	Buy	05/31/17	K		
19.					Buy (add'l)	08/18/17	J		
20. -AQR Managed Futures Strategy Fund CI I		None			Sold	05/31/17	K	A	
21.									
22. PNC Savings Account	A	Interest	J	T					
23. Merrill Edge Cash Management Account	A	Interest	N	T					
24. Energy Transfer Partners, LP	B	Distribution	J	T					
25.									
26. Marilyn Heffley IRA Rollover (H)									
27. -Bank Deposit Sweep Program QPRMQ	A	Interest	K	T					
28. -American Am-Cap Fund F2	C	Dividend	K	T	Sold (part)	08/18/17	J	A	
29. -AQR Managed Futures Fund CL I		None	K	T	Sold (part)	12/08/17	J	A	
30. -John Hancock Funds Disciplined Value Mid-Cap Fund CL I	C	Dividend	K	T					
31. -Oppenheimer Developing Markets Fund CI Y	A	Dividend	K	T					
32. -PIMCO All Asset All Authority-Instit CL	C	Dividend	L	T	Buy (add'l)	08/18/17	J		
33. -T. Rowe Price Blue Chip Growth Fund	B	Dividend	K	T	Sold (part)	12/08/17	J	B	
34. -Undiscovered Managers Behavior Value Institutional	B	Dividend	K	T	Sold (part)	02/17/17	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	
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35. -Vanguard Equity Income Investor CL	C	Dividend	L	T	Sold (part)	08/18/17	J	D	
36. -AB Global Bond Fund Advisor Cl	A	Dividend	K	T	Buy (add'l)	02/17/17	J		
37. -BlackRock Floating Rate Inc Port Instl	A	Dividend	K	T					
38. -Eaton Vance Income Fund Of Boston Cl I	B	Dividend	K	T					
39. -John Hancock STR Inc Opportunities CL I	B	Dividend	L	T					
40. -Lord Abnett Short Duration Income Fund Cl F	A	Dividend	K	T	Buy	12/08/17	K		
41. -The Hartford International Opportunities Cl I	C	Dividend	L	T	Buy	02/17/17	K		
42. -Lazard International Strategic Equity Portfolio Open Shares		None			Sold	02/17/17	K	A	
43.									
44. Marilyn Heffley IRA Guardian Life Insurance (H)									
45. -Alliance Bernstein VPS Growth & Income Portfolio Class B		None	J	T					
46. -BlackRock Capital Appreciation Series I		None	J	T					
47. -BlackRock Large Cap Core CL III		None	J	T					
48. -Columbia Variable Portfolio Small Cap VA		None	J	T					
49. -Fidelity VIP Contrafund SRCL2		None	J	T					
50. -Fidelity VIP Midcap Port SRCL2		None	J	T					
51. -Franklin Small Cap Value VIP Fund Class		None	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	
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52. -Franklin US Government Securities VIP FU		None	J	T					
53. -Invesco VI International Growth Series I		None	J	T					
54. -Janus Aspen (Henderson) Global Technology Ss		None	J	T					
55. -MFS VIT Utilities Series SC		None	J	T					
56. -Oppenheimer Global Strategic Income/VA S		None	K	T					
57. -Oppenheimer Main Street Small Cap Fund/ V		None	J	T					
58. -PIMCO Total Return Advisor CL		None	J	T					
59. -Pioneer Mid Cap Value VCT CL II		None	J	T					
60. -RS (Victory) INV Quality Bond VIP Series		None	J	T					
61. -RS (Victory) Large Cap Alpha VIP Series		None	J	T					
62. -RS (Victory) Low Duration Bond VIP Series		None	J	T					
63. -Wells Fargo VT International Equity Fund		None	J	T					
64.									
65. Marilyn Heffley IRA (H)	D	Distribution							
66. -Bank Deposit Sweep Program QPRMQ	A	Interest	J	T					
67. -American AMCAP Fund F2	B	Dividend	K	T	Sold (part)	08/18/17	J	A	
68.					Sold (part)	12/08/17	J	B	

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69. -Harding Loevner Institutional Emerging Markets CL I	A	Dividend	K	T					
70. -John Hancock Global Absolute Return Strategic CL I		None	K	T	Buy (add'l)	05/31/17	J		
71. -Vanguard Equity Income Investor CL	B	Dividend	K	T	Sold (part)	08/18/17	J	B	
72. -Zacks Small-Cap Core Fund	B	Dividend	K	T					
73. -AB Global Bond Fund Advisor Cl	A	Dividend	K	T					
74. -BlackRock Strategic Income Opprtsi Institutional	B	Dividend	K	T	Buy (add'l)	05/31/17	J		
75.					Buy (add'l)	08/18/17	J		
76. -Columbia Strategic Income Fund Cl R4	B	Dividend	K	T					
77. -Eaton Vance Floating Rate Advantage Cl I	A	Dividend	J	T					
78. -American Funds EuroPacific Growth Fund Cl F-2	A	Dividend	K	T	Buy	12/08/17	K		
79. -Lord Abbett Short Duration Income Fund Cl F	A	Dividend	J	T	Buy	12/08/17	J		
80. -Parnassus Mid-Cap Fund	A	Dividend	J	T	Buy	12/08/17	J		
81. -Aston/Fairpointe (AMG Managers) Mid-Cap Fund CL N		None			Sold	12/08/17	K	B	
82. -AQR Managed Futures Fund CL I		None			Sold	05/31/17	K	B	
83. -Federated Short Term Income FD CL Y	A	Dividend			Sold	12/08/17	J	A	
84. -Goldman Sachs Emerging Markets Debt Instl	A	Dividend			Sold	12/08/17	K	A	
85. -Tweedy Browne Global Value Fund		None			Sold	12/08/17	K	B	

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86.									
87. SunCoke Energy		None	J	T					
88.									
89.									
90.									
91.									
92.									
93.									
94.									
95.									
96.									
97.									

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

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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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544