

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Brann, Matthew W.	2. Court or Organization District Court-Middle District, Pennsylvania	3. Date of Report 05/07/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Courthouse and Federal Building 240 West Third Street, Suite 401 Williamsport, Pennsylvania 17701		
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. Member	Harewood Group, LLC
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.	New York Intellectual Property Law Association	March 22, 2019-March 23, 2019	New York, NY	Patent Bar dinner	Hotel room lodging for one night, dinner, breakfast, parking, mileage and toll reimbursement.
2.	Pennsylvania Bar Institute	October 24, 2019-October 25, 2019	Pittsburgh, PA	Federal Practice Institute, Continuing Legal Education seminar as presenter	Hotel room lodging for one night, dinner, breakfast, lunch, parking, and mileage reimbursement.
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Harewood Group, LLC	C	Distribution	L	U					
2. Brokerage Account #1									
3. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	M	T					
4. -Annaly Capital Management Common Stock	B	Dividend	J	T					
5. -Ferrellgas Partners, LP Common Stock		None	J	T					
6. -First Trust Energy Income and Growth Fund	B	Dividend	K	T					
7. -KKR & Co., Inc.Common Stock	A	Dividend	K	T					
8. -Retailwinds, Inc. Common Stock		None	J	T					
9. -Ares Capital Corp. Common Stock	C	Dividend	K	T					
10. -Verizon Communications, Inc. Common Stock	B	Dividend	L	T					
11. -Xerox Corp. Common Stock	A	Dividend			Sold	07/02/19	K	D	
12. -Conduent Incorporated		None	J	T					
13. -iShares Core S & P Small Cap ETF	A	Dividend	K	T					
14. -iShares Global Healthcare ETF	A	Dividend	K	T					
15. -iShares Gold ETF		None	J	T					
16. -Schwab Fundamental International Small Company Index ETF	A	Dividend	J	T					
17. -Schwab Fundamental U.S. Small Company ETF		None			Sold	02/15/19	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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☐ 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. -Vanguard Consumer Staples ETF	A	Dividend	J	T					
19. -Vanguard FTSE Developed Markets ETF	A	Dividend			Sold	02/05/19	K	A	
20. -Vanguard FTSE Emerging Markets ETF		None			Sold	01/31/19	K	A	
21. -Vanguard Information Technology ETF	A	Dividend	K	T					
22. -Vanguard Mid Cap ETF		None			Sold	02/15/19	K	A	
23. -Vanguard FTSE All World Ex U.S. Small Cap ETF	B	Dividend	K	T					
24. -WisdomTree Inter Hdg Qly Div Grt ETF	A	Dividend			Sold	02/05/19	K	A	
25. -WisdomTree Intl Small Cp Dividend ETF	A	Dividend	J	T					
26. -WisdomTree U.S. Small Cap Dividend Grw ETF	A	Dividend	K	T					
27. -WisdomTree Emerging Markets Small Cap Dividend ETF	A	Dividend	J	T					
28. -USAA Tax Exempt Intermediate Term Fund	A	Dividend			Sold	04/03/19	K	A	
29. Illinois Tool Works, Inc. Common Stock	A	Dividend	K	T					
30. (Macquarie)Delaware Foundation Moderate Allocation Fund A	C	Dividend	M	T					
31. Gabelli Asset Fund	A	Dividend	M	T					
32. Neuberger Berman Guardian Fund Investor Class	B	Dividend	L	T					
33. Roth IRA #1									
34. -Schwab Cash Reserves (Schwab Govt. Money Market Fund)	A	Dividend	J	T					

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	
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35. -Vanguard Extended Market ETF	A	Dividend	J	T					
36. -Vanguard Total International Stock ETF	A	Dividend	J	T					
37. -iShares Core S&P Small Cap ETF	A	Dividend	J	T	Buy	02/01/19	J		
38. --Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	02/01/19	J		
39. SEP-IRA									
40. -iShares Core Dividend Growth ETF	A	Int./Div.			Sold	01/31/19	K	A	
41. -WisdomTree U.S. Small Cap Dividend ETF	A	Int./Div.			Sold	01/31/19	J	A	
42. -WisdomTree Dynamic Long/Short U.S. Equity ETF	A	Int./Div.	K	T					
43. -Prudential High Yield Fund Class Z	A	Int./Div.	K	T					
44. -Virtus SEIX Floating Rate High Income Fund Class I	A	Int./Div.	K	T					
45. -Schwab International Core Equity Fund	A	Int./Div.	K	T					
46. -Invesco Global Short High Yield Bond ETF	B	Int./Div.	K	T					
47. -Charles Schwab & Co., Inc. Money Market Account Cash Reserves	A	Interest	K	T					
48. American Funds: The Investment Co. of America A (IRA)	B	Dividend	L	T					
49. 529A #1									
50. -American Funds: The Investment Co. of America	E	Dividend	N	T					
51. -American Funds: The Growth Fund of America	D	Dividend	L	T					

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52. 529A #2									
53. -American Funds: The Investment Co. of America	E	Dividend	N	T					
54. Citizen & Northern Bank Accounts	A	Interest	K	T					
55. 1/3 interest in real estate, Bradford County, Pennsylvania		None	L	Q					
56. 1/3 interest in mineral estate, Bradford County, Pennsylvania		None	L	Q					

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

Part VII, Page 1, Column 55--This real property was assigned value method code "Q", noting an appraisal dated November 1, 2010.

Part VII, Page 1, Column 56--This mineral estate was assigned value method code "Q", noting an appraisal dated November 1, 2010.

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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/ **Matthew W. Brann**

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