

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) Goldberg, Mitchell S.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 08/13/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Room 7614, U. S. Courthouse 601 Market Street 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.)

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. 2/03	Pennsylvania Employee Retirement System
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. 2019	Pennsylvania Employee Retirement System	\$13,818.00
2. 12/2019	Beasley School of Law at Temple University - Teaching	\$5,000.00
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. 2019	Independent Yoga Instructor
2. 2019	Moore Energy LLC
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.	Wells Fargo	Vacation Property #1, Ocean County, New Jersey	O
2.			
3.			
4.			
5.			

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. COMMON STOCK:									
2. AT&T Inc	A	Dividend	J	T					
3. Caterpillar Inc.	A	Dividend	J	T					
4. Cisco Sys Inc.	A	Dividend	J	T					
5. Ford Motor Co Del	A	Dividend	J	T					
6. GlaxoSmithKline PLC	A	Dividend	J	T					
7. Kellogg Co	A	Dividend	J	T					
8. Kimberly Clark Corp	A	Dividend	J	T					
9. Merck & Co Inc.	A	Dividend	K	T					
10. Mesabi TR	A	Dividend	J	T					
11. New York Mtg TR Inc.	A	Dividend	J	T					
12. United Technologies Corp	A	Dividend	J	T					
13. PREFERRED OR OTHER STOCK:									
14. Aegon N V	A	Dividend	J	T	Sold	06/17/19	J		
15. SL Green Realty Corp	A	Dividend	J	T					
16. Taubman Ctrs Inc	A	Dividend	J	T					
17. UGI Corp	A	Dividend	J	T	Buy	08/29/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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)
18. MASTER LIMITED PARTNERSHIPS:									
19. Amerigas Partners LP	A	Interest	J	T	Sold	08/27/19	J		
20. Icahn Enterprises	A	Interest	J	T					
21. MUTUAL FUNDS:									
22. Metropolitan West FDS	A	Interest	J	T					
23. CLOSED END FUNDS:									
24. Guggenheim Enhanced Equity Income Fund	A	Interest	J	T					
25. Blackrock Municipal Holdings Fund II Inc	A	Interest	K	T					
26. Delaware Invt Nat Muni Inc Fund	A	Interest	K	T					
27. Eaton Vance Natl Mun Opport TR	A	Interest	J	T					
28. Invesco Mun Income	A	Interest	K	T					
29. Nuveen Amt-Free Mun Value Fund	A	Interest	J	T					
30. Putnam Managed Mun Incom TR	A	Interest	K	T					
31. Western Asset Mun Def Opp TR	A	Interest	K	T					
32. Rental Property #1, Ocean County, New Jersey (\$820,000)	D	None	O	W					No longer renting
33. Morgan Stanley Private Bank NA	A	Interest	M	T					
34. MORGAN STANLEY SMITH BARNEY #1 - COMMON STOCKS & OPTIONS:									

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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35. Apple Inc	A	Dividend	L	T					
36. AT&T Inc	B	Dividend	K	T					
37. Brighthouse Finl		None	J	T					
38. Bristol Myers Squibb Co.	A	Dividend	J	T					
39. Chemours Co Com	A	Dividend	J	T					
40. Crown Castle Intl Corp	A	Dividend	K	T					
41. Discover Fincl Svcs	A	Dividend	J	T					
42. H & R Block	A	Dividend	J	T					
43. Harley Davidson Inc.	A	Dividend	J	T					
44. HCP Inc. *Name change to Healthpeak 11/5/2019	A	Dividend	J	T					
45. Kimberly Clark Corp.	A	Dividend	K	T					
46. Kinder Morgan Incorp.	A	Dividend	J	T	Sold	04/02/19	J		
47. Metlife Inc.	A	Dividend	K	T					
48. Pepsico Inc.	A	Dividend	J	T					
49. Sysco Corp	A	Dividend	J	T					
50. Walt Disney Co. Hldg. Co.	A	Dividend	J	T					
51. Whirlpool Corp Preferential	A	Dividend	K	T	Sold	04/30/19	K		

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52. Avanos Medical Inc.	A	Dividend	J	T					
53. United Parcel Service	A	Dividend	K	T	Buy	06/10/19	K		
54. MORGAN STANLEY SMITH BARNEY CORPORATE BONDS:									
55. Capital One Financial Co. Bond	B	Interest	K	T					
56. Potash Corp. Saskatchewan	B	Interest	K	T					
57. Goldman Sachs Group Inc.	A	Interest	K	T	Redeemed	01/31/19	K		
58. MORGAN STANLEY SMITH BARNEY CERTS OF DEPOSIT:									
59. Synchrony DRAPER UT CD	A	Interest	K	T					
60. Wells Fargo Bank NA CD	A	Interest	K	T	Redeemed	11/29/19	K		
61. Wells Fargo Bank NA Fid	A	Interest	K	T					
62. JP Morgan Chase Bank	A	Interest	K	T	Redeemed	06/19/19	K		
63. Ally Bank Midvale	A	Interest	K	T	Buy	05/22/19	K		
64. State Bank Ind New York	A	Interest	K	T	Buy	02/26/19	K		
65. HSBC Bank	A	Interest	K	T	Buy	10/17/19	K		
66. MORGAN STANLEY SMITH BARNEY #2 - FINANCIAL MGT ACCT:									
67. Exxon Mobil Corp	A	Dividend	J	T					
68. International Paper Co.	A	Dividend	K	T					

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69. United Technologies	A	Dividend	K	T					
70. Pennsylvania St. Genl. Oblig	B	Interest	K	T					
71. Connecticut St Genl CD		Interest	K	T	Buy	12/20/19	K		
72. MORGAN STANLEY SMITH BARNEY #3 - COMMON STOCK:									
73. Baxter Intl Inc	A	Dividend	J	T					
74. Pentair PLC.	A	Dividend	J	T					
75. Pepsico Inc	A	Dividend	K	T					
76. Williams Co., Inc.	A	Dividend	J	T					
77. Walt Disney Co. Hldg. Co.	A	Dividend	J	T					
78. nVent Electric	A	Dividend	J	T					
79. Goldman Sachs New York NY CD	A	Interest	K	T	Redeemed	05/21/19	K		
80. Bank Hapoalim CD	A	Interest	K	T	Buy	03/21/19	K		
81. Oppenheimer Fund - Retirement IRA	A	Dividend	K	T					
82. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T	Sold	02/27/19	J		
83. SAVINGS & CHECKING ACCOUNTS:									
84. Capital One 360 Savings Account	A	Interest	K	T					
85. TD Bank Checking Account		None	J	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
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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/ Mitchell S. Goldberg**

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