

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) DUBOIS, JAN E.	2. Court or Organization U.S.D.C., E.D., PA	3. Date of Report 08/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE, U.S.D.C.	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 12613 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.		
3.		

Name of Person Reporting	Date of Report
DUBOIS, JAN E.	08/05/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

[X] 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.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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DUBOIS, JAN E.	08/05/2020

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.		

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. 10. General Electric Co. (11)	C	Dividend	L	T	Donated (part)				
2. 58. Home Depot Inc. (5) IRA	C	Dividend	M	T					
3. 59. Intel Corp. (5) IRA	C	Dividend	M	T					
4. 69. Merck & Co. (5) IRA	C	Dividend	M	T					
5. 94. Wells Fargo (10)	A	Interest	J	T					
6. 99. NCR Corporation (12)		None	J	T					
7. 102. CitiGroup (5) IRA	B	Dividend	L	T					
8. 125. Citigroup (9)	A	Dividend	J	T					
9. 137. Cisco Sys Inc. (5) IRA	C	Dividend	M	T					
10. 152. Pfizer, Inc. (5) IRA	C	Dividend	M	T					
11. 162. Ishares MSCI EAFE Fund (6) IRA	B	Dividend	K	T					
12. 165. BDP-Morgan Stanley Bank (11)	A	Interest	J	T					
13. 166. Royal Dutch Shell PLC(12)	B	Dividend	K	T					
14. 173. BDP Morgan Stanley Bank (12)	A	Interest	L	T					
15. 184. BDP- Morgan Stanley Bank (9)	A	Interest	J	T					
16. 186. BDP - Morgan Stanley Bank (5) IRA	A	Interest	K	T					
17. 189. Starbucks Corp. Washington (5) IRA	C	Dividend	M	T					

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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Name of Person Reporting

DUBOIS, JAN E.

Date of Report

08/05/2020

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. 193. AT&T (12)	C	Dividend	L	T					
19. 194. Teradata (12)		None	J	T					
20. 197. Manitex Intl Inc. Com. (12)		None	K	T					
21. 203. Wisdom Tree Int'l Large CAP (DOL) (6) IRA	B	Dividend	K	T					
22. 204. Ishares MSCI Emerging Mkts FD(6) IRA	A	Dividend	K	T					
23. 207. Chesapeake Energy Corp. (5) IRA		None	J	T					
24. 211. Morgan Stanley (9)	B	Dividend	L	T					
25. 213. BDP - Morgan Stanley Bank (6) IRA	A	Interest	K	T					
26. 215. Facebook Inc. Cl-A (5) IRA		None	M	T					
27. 217. Facebook Inc Cl-A (6) IRA		None	L	T					
28. 221. USA Technologies (12)		None	K	T	Sold (part)	09/19/19	K	D	
29. 222. Apple, Inc. (11)	C	Dividend	N	T					
30. 223. Donnelly RR & Sons Co. (9)	A	Dividend	J	T					
31. 224. Freeport McMoran CP&GLD (6) IRA	A	Dividend	J	T					
32. 227. Vodaphone (9)	B	Dividend	K	T	Buy (add'l)	04/05/19	K		
33. 228. Williams Co Inc (9)	B	Dividend	K	T					
34. 232. Discover Fincl Svcs (5) IRA	B	Dividend	L	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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	(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. 233. Donnelly Financial Solutions, Inc. (9) (61)		None			Sold	04/05/19	J	A	
36. 234. LSC Communications, Inc. Com (9)	A	Dividend			Sold	04/05/19	J	A	
37. 235. Crown Castle International Corporation (9)	B	Dividend	K	T	Sold (part)	04/05/19	J	C	
38. 237. ESC Seventy Seven (5) IRA		None	J	T					
39. 240. Arceleromittal CL A NY Registry (5) IRA (65)	A	Dividend	K	T					
40. 241. Dow DuPont Inc. (5) IRA (69)(70)	A	Dividend			Closed	6/3/19	K		
41. 242. Federated US Trsy Csh Res Inst (11)	C	Interest	L	T					
42. 243. Ventas Inc. (12)	C	Dividend	K	T					
43. 244. Federated US Trsy Csh Res Inst (5)	D	Interest	N	T					
44. 245. Clearway Energy Inc. Class A (9)(68)	B	Dividend	K	T					
45. 246. Wabtec Corp. (11) (71)	A	Dividend	J	T	Spinoff (from line 1)	02/28/19	J		
46.					Sold (part)	02/28/19	J	A	
47. 247. Corteva, Inc. (5) IRA (70)	A	Dividend	J	T	Spinoff (from line 40)	06/05/19	J		
48. 248. Dow, Inc. (5) IRA (70)	B	Dividend	K	T	Spinoff (from line 40)	04/04/19	K		
49. 249. DuPont DeNemours, Inc. (5) IRA (69)	A	Dividend	K	T	Spinoff (from line 40)	06/03/19	K		
50.									

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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.)*

(5) (Lines 58, 59, 69, 102, 137, 152, 186, 189, 207, 215, 232, 237, 240, 241, 244, 247, 248, 249) Securities in an IRA Account with Morgan Stanley.

(6) (Lines 162, 203, 204, 213, 217, 224) Securities IRA Account with Morgan Stanley.

(9) (Lines 125, 184, 211, 223, 227, 228, 233, 234, 235, 245) Securities in Family Trust with Morgan Stanley.

(10) (Line 94) Checking Account

(11) (Lines 10, 165, 222, 242, 246) Securities in a Brokerage Account with Morgan Stanley.

(12) (Lines 99, 166, 173, 193, 194, 197, 221, 243) Securities in Brokerage Account with Morgan Stanley.

(69) (Lines 241, 249) Even exchange from Dow DuPont, Inc., to DuPont De Nemours, Inc.

(70) (Lines 241, 247, 248) Spinoff from Dow DuPont, Inc., to both Corteva, Inc., and Dow, Inc.

(71) (Lines 10, 246) Spinoff from General Electric to Wabtec Corp.

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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/ JAN E. DUBOIS

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