

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) Bartle III, Harvey	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 07/14/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior 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 16614 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. Director	
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. 2019	Texas Teachers Retirement System - Pension
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.				
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)	(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. Eastman Kodak (Com.)		None	J	T					
2. IBM (Com.)	C	Dividend	L	T					
3. Xerox (Com.)	A	Dividend	J	T					
4. Johnson & Johnson	B	Dividend	L	T					
5. Delphi Automotive Systems (Com.)		None	J	T					
6. TD Bank	A	Interest	L	T					
7. Vanguard-Windsor II (IRA Rollover)	D	Distribution	M	T					
8. Merrill Lynch (Mercury U.S. Large Cap Fund Class B)		None	J	T					
9. TIAA/CREF (Retirement Fund)	E	Int./Div.	O	T					
10. Vanguard (Wellington Fund Admr)	D	Dividend	M	T					
11. Vanguard (Wellington Fund Admr)	E	Dividend	O	T					
12. Vanguard (Pa. Long Term Tax Exempt Fund)	A	Interest	K	T					
13. American Mut. Fd. Inc. A	C	Dividend	M	T					
14. Fundamental Invs. Inc. Class A	A	Dividend	L	T					
15. Growth Fund America Class A	B	Dividend			Sold	02/27/19	M		
16. Philadelphia Contributionship	A	Dividend	J	T					
17. Pa. St. 1st Series Bond	A	Interest			Redeemed	02/15/19	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	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. Pa. St. Higher EFA Rev Temple U. Bond (See VIII)	A	Interest			Redeemed	04/01/19	J		
19. Pa. St. Turnpike Bond Ser. C	A	Interest	J	T					
20. Cranberry Twp. Pa Bond	A	Interest	J	T					
21. Chester County Pa School Auth. Bond	A	Interest	J	T					
22. Moon Area School Dist. Pa Bond	A	Interest	K	T					
23. State Pub. School Bldg. Auth. Pa Bond	A	Interest	J	T					
24. Commonwealth Fing. Authority Pa Bond	A	Interest	J	T					
25. Pa. Economic Dev. Fing. Authority Bond	A	Interest	K	T					
26. Troy, Pa Area School Dist. Bradford County Bond	A	Interest	J	T					
27. Blackrock Long Term Mun. Advisor Trust	B	Dividend	K	T					
28. BNY Mellon Muni Bd Fund (See VIII)	B	Dividend	L	T					
29. Indiana State Fin Auth Wastewater Util Rev	A	Interest	J	T					
30. Pa State Turnpike Rev. Series E	A	Interest	J	T					
31. Trenton NJ Parking Authority	A	Interest	J	T					
32. Palm Desert CA Redev. Agy	A	Interest	J	T					
33. Clackamas Cnty Org. Sch. Dist	A	Interest	J	T					
34. Connecticut St. Hsg. Fin. Auth (See VIII)	A	Interest			Redeemed	08/28/19	J		

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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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35. Wisconsin Hsg. & Econ Dev. Auth	A	Interest	J	T					
36. Scranton Pa. Sch Dist GO	A	Interest	J	T					
37. Alerian MLP	A	Dividend			Buy	02/27/19	K		
38.					Sold	11/18/19	K		
39. Ares Dynamic Credit Allocation Fund	A	Dividend			Buy	02/27/19	K		
40.					Sold	11/06/19	K		
41. Blackrock Muniyield PA Quality Fund	B	Dividend	K	T					
42. Eaton Vance PA Muni. Income Trust Fund	B	Dividend	K	T					
43. Invesco PA Value Muni Income Trust	A	Dividend	J	T					
44. QVC Inc. 6.375% PFD	C	Interest	L	T					
45. Monroe County NY Pub	A	Interest	J	T					
46. New Mexico Mtg. Fin Auth	A	Interest	J	T					
47. Ebert Met Dist Co RFDG	A	Interest	J	T					
48. Invesco High Income Fund	B	Dividend	K	T					
49. West VA ST, HSG Dev. Fund	A	Interest	J	T	Buy	03/07/19	J		
50. MetLife Inc. 5.625% Pfd	B	Interest	K	T	Buy	02/27/19	K		
51. J.P. Morgan Ser. DD Pfd	B	Interest	K	T	Buy	02/27/19	K		

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52. Telephone & 6.875% Perp	B	Interest	K	T	Buy	02/27/19	K		
53. U.S. Bancorp 5.15% Pfd	B	Interest	K	T	Buy	02/27/19	K		
54. Wells Fargo 5.625% Pfd	B	Interest	K	T	Buy	02/27/19	K		
55. Lake Mun. Util Dist TX (See VIII)	A	Interest	J	T					
56. Apollo Tactical Income Fund, Inc.	B	Dividend	K	T	Buy	02/25/19	K		
57. Kent St. Univ. Revs BSD 2019	A	Interest	J	T	Buy	04/18/19	J		
58. Connellsville PA Area Sch Dist RFDG	A	Interest	J	T	Buy	10/03/19	J		
59. Capital One Fin. 5% Pfd	A	Dividend	K	T	Buy	11/06/19	K		
60. Citizens Finl Corp 5% Pfd	B	Dividend	K	T	Buy	11/08/19	K		

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

PART VII. Investments and Trusts.

#18 and #34 were only redeemed in part in 2018

#28 - name change from Dreyfus Mun. Bond Infrastructure Fund to BNY Mellon Muni Bd Fund

#55 inadvertently omitted from 2018 report. It was purchased 10/30/18 with Value Code J.

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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/ Harvey Bartle III**

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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