

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/23/2019
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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. 2018	Pennsylvania Employee Retirement System	\$13,818.00
2. 12/2018	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. 2018	Stryker Corp.
2. 2018	Independent Yoga Instructor
3. 2018	Great Scot Supermarket
4. 2018	Moore Energy LLC

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. Bucks County 2018 Annual Dinner	12/06/2018	Doylestown, PA	Court Dinner and Meeting	Meal
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.	Wells Fargo	Rental Property #1, Ocean County, New Jersey	O
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. Trust - 1/3 Interest Oppenheimer & Co Inc.:									* See Part VIII
2. COMMON STOCK:									
3. AT&T Inc	A	Dividend	J	T					
4. Caterpillar Inc.	A	Dividend	J	T					
5. Cisco Sys Inc.	A	Dividend	J	T					
6. Ford Motor Co Del	A	Dividend	J	T					
7. GlaxoSmithKline PLC	A	Dividend	J	T					
8. Kellogg Co	A	Dividend	J	T					
9. Kimberly Clark Corp	A	Dividend	J	T					
10. Merck & Co Inc.	A	Dividend	K	T					
11. Mesabi TR	A	Dividend	J	T					
12. New York Mtg TR Inc.	A	Dividend	J	T					
13. United Technologies Corp	A	Dividend	J	T					
14. PREFERRED OR OTHER STOCK:									
15. Aegon N V	A	Dividend	J	T					
16. SL Green Realty Corp	A	Dividend	J	T					
17. Taubman Ctrs Inc	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. MASTER LIMITED PARTNERSHIPS:									
19. Amerigas Partners LP	A	Interest	J	T					
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 Invst 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	Rent	O	W					
33. Morgan Stanley Private Bank NA	A	Interest	L	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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35. Apple Inc	A	Dividend	K	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. Cardinal Health Inc Ref: 17200000	A	Dividend	K	T	Sold	05/14/18	K		
40. Chemours Co Com	A	Dividend	J	T					
41. Crown Castle Intl Corp	A	Dividend	K	T					
42. Discover Fincl Svcs	A	Dividend	J	T					
43. H & R Block	A	Dividend	J	T					
44. Halyard Health Inc.		None	J	T		07/02/18			** See Part VIII
45. Harley Davidson Inc.	A	Dividend	J	T					
46. HCP Inc.	A	Dividend	J	T					
47. Kimberly Clark Corp.	A	Dividend	K	T					
48. Kinder Morgan Incorp.	A	Dividend	J	T					
49. Macy's Inc.	A	Dividend	J	T	Sold	01/19/18	J		
50. Metlife Inc.	A	Dividend	K	T					
51. Pepsico Inc.	A	Dividend	J	T					

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52. Quality Care Properties		None	J	T	Redeemed	07/27/18	J		
53. Sysco Corp	A	Dividend	J	T					
54. Walt Disney Co. Hldg. Co.	A	Dividend	J	T					
55. Whirlpool Corp Preferential	A	Dividend	K	T	Buy	10/03/18	K		
56. Avanos Medical Inc.	A	Dividend	J	T		07/02/18			** See Part VIII
57. MORGAN STANLEY SMITH BARNEY CORPORATE BONDS:									
58. Capital One Financial Co. Bond	B	Interest	K	T					
59. Pepsico Inc.	A	Interest	K	T	Redeemed	06/01/18	K		
60. Potash Corp. Saskatchewan	B	Interest	K	T					
61. Goldman Sachs Group Inc.	A	Interest	K	T					
62. MORGAN STANLEY SMITH BARNEY CERTS OF DEPOSIT:									
63. Amex Centurion Salt Lake City UT CD	A	Interest	K	T	Redeemed	12/04/18	K		
64. Synchrony DRAPER UT CD	A	Interest	K	T					
65. Wells Fargo Bank NA CD	A	Interest	K	T					
66. Wells Fargo Bank NA Fid	A	Interest	K	T					
67. JP Morgan Chase Bank	A	Interest	K	T	Buy	06/05/18	K		
68. MORGAN STANLEY SMITH BARNEY #2 - FINANCIAL MGT ACCT:									

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69. Exxon Mobil Corp	A	Dividend	J	T					
70. International Paper Co.	A	Dividend	K	T					
71. Quality Care Properties	A	Dividend	J	T	Redeemed	07/27/18	J		
72. United Technologies	A	Dividend	K	T					
73. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Dividend	J	T	Sold	09/26/18	J		
74. Pennsylvania St. Genl. Oblig	B	Interest	K	T					
75. MORGAN STANLEY SMITH BARNEY #3 - COMMON STOCK:									
76. Baxter Intl Inc	A	Dividend	J	T					
77. Pentair PLC.	A	Dividend	J	T					
78. Pepsico Inc	A	Dividend	K	T					
79. Shire PLC - ADR		None	J	T	Sold	01/03/18	J		
80. Williams Co., Inc.	A	Dividend	J	T					
81. Walt Disney Co. Hldg. Co.	A	Dividend	J	T	Buy	04/30/18	J		
82. Yum! Brands Inc Bond	A	Interest	J	T	Redeemed	03/15/18	J		
83. nVent Electric	A	Dividend	J	T	Spinoff (from line 77)	05/01/18	J		
84. Goldman Sachs New York NY CD	A	Interest	K	T					
85. Oppenheimer Fund - Retirement IRA	A	Dividend	K	T					

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86. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					
87. STRYKER CORP 401K SAVINGS & RETIREMENT PLAN:									
88. Vanguard Target Retire 2025	A	Dividend	J	T	Sold	06/19/18	K		
89. Stryker Corp Stock Fund	A	Dividend	J	T	Sold	06/19/18	J		
90. SAVINGS & CHECKING ACCOUNTS:									
91. Capital One 360 Savings Account	A	Interest	J	T					
92. TD Bank Checking Account		None	J	T					

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

* VII Investments & Trusts -- #1 In 2016, the Trust (I have 1/3 interest) sold all real estate holdings. The net proceeds from the sales were deposited into an Oppenheimer account in the Trust's name. I have not received income from the sales transactions. I did not report these transactions in the 2017 Report because I was unaware, but am amending and reporting now.

** VII Investments & Trusts -- # 44, #56 Name change from Haylard Health to Avanos Medical Inc.

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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