

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

1. Person Reporting (last name, first, middle initial) Pappert, Gerald J.	2. Court or Organization U.S. District Court for the Eastern District of Pennsylvania	3. Date of Report 06/16/2014
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S District Judge	5a. Report Type (check appropriate type) ☒ Nomination Date 06/16/2014 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2013 to 06/12/2014
	5b. ☐ Amended Report	
7. Chambers or Office Address Cozen O'Connor, P.C. 1900 Market Street Philadelphia, PA 19103		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Shareholder	Cozen O'Connor, P.C.
2.	Chairman	Pennsylvania Banking and Securities Commission
3.	General Partner	Marza, LP
4.	Trustee	Trust No. 1
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2001	Pennsylvania State Employees' Retirement System Defined Benefit Pension Plan
2.	
3.	

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. 2012	Cephalon, Inc., 2011 Bonus	\$298,200.00
2. 2012	Cozen O'Connor, P.C., Salary	\$55,925.00
3. 2012	Commonwealth of Pennsylvania, Salary	\$4,531.00
4. 2012	Pennsylvania State Employees' Retirement System, Retirement Benefits	\$4,138.71
5. 2012	ABC, Inc., Fees	\$900.00
6. 2013	Cozen O'Connor, P.C., Salary	\$382,447.51
7. 2013	Commonwealth of Pennsylvania, Salary	\$30,302.84
8. 2013	ABC, Inc., Fees	\$750.00
9. 2014	Cozen O'Connor, Salary	\$96,837.20
10. 2014	Commonwealth of Pennsylvania, Salary	\$15,807.52

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. Exempt				

Name of Person Reporting	Date of Report
Pappert, Gerald J.	06/16/2014

2.

3.

4.

5.

Name of Person Reporting	Date of Report
Pappert, Gerald J.	06/16/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1. Exempt		
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) 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. Marza, LP									
2. -Arizona State Bonds	A	Interest	K	T					
3. -Barclays Bank PLC	D	Dividend	M	T					
4. -Beaver County, PA Bonds	A	Interest	K	T					
5. -Buffalo, NY Bonds	A	Interest	K	T					
6. -Calamos Market Neutral Income Fund	D	Dividend	M	T					
7. -Dansville, NY Central School District Bonds	A	Interest	K	T					
8. -East Penn, PA School District Bonds	A	Interest	K	T					
9. -Elk County, PA Industrial Development Authority Bonds	B	Interest	N	T					
10. -American Funds EuroPacific Growth Fund	F	Dividend	N	T					
11. -Federal Farm Credit Banks Consolidated Bonds	A	Interest	K	T					
12. -Federal Home Loan Banks Consolidated Bonds	A	Interest	K	T					
13. -Spartan 500 Index Fund	D	Dividend	K	T					
14. -Fidelity Floating Rate High Income Fund	C	Dividend	N	T					
15. -Fidelity Municipal Money Market	A	Interest	L	T					
16. -First Trust Dow Jones Internet Index Fund	A	Dividend	M	T					
17. -Gates-Chili, NY Central School District Bonds	B	Interest	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

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. -Gateway Fund	D	Dividend	M	T					
19. -Greater Johnstown, PA School District Bonds	B	Interest	M	T					
20. -Greenfield, MA Bonds	A	Interest	M	T					
21. -Harbor Creek, PA School District Bonds	A	Interest	K	T					
22. -Highland LongShort Equity Fund	D	Dividend	M	T					
23. -iShares Core S&P 500 Index Fund	G	Dividend	P1	T					
24. -iShares Core Total U.S. Bond Market Fund	A	Dividend	J	T					
25. -iShares 1-3 Year Treasury Bond	A	Dividend	J	T					
26. -iShares Core S&P Mid-Cap	G	Dividend	N	T					
27. -iShares Russell 2000 Index Fund	F	Dividend	N	T					
28. -iShares U.S. Technology	E	Dividend	L	T					
29. -iShares Core S&P Small-Cap	E	Dividend	M	T					
30. -iShares S&P Europe 350	D	Dividend	K	T					
31. -JPMorgan Alerian MLP Index	E	Dividend	M	T					
32. -Janus Triton Fund	E	Dividend	M	T					
33. -MainStay Marketfield Fund	E	Dividend	M	T					
34. -Merger Fund	D	Dividend	N	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

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)
35. -North & South Shenango, PA Jt. Municipal Authority Bonds	B	Interest	M	T					
36. -Pacira Pharmaceuticals, Inc.	D	Dividend	M	T					
37. -Panther Valley, PA School District Bonds	A	Interest	K	T					
38. -Phelps-Clifton Springs, NY Central School District Bonds	B	Interest	M	T					
39. -Pike County, KY School District Bonds	C	Interest	M	T					
40. -Ringwood, NJ Board of Education Bonds	C	Interest	M	T					
41. -Romeo, MI Community School District Bonds	A	Interest	M	T					
42. -Scout International Fund	F	Dividend	N	T					
43. -PA State Public School Building Authority Bonds	A	Interest	M	T					
44. -Stone Harbor, NJ Bonds	A	Interest	M	T					
45. -Swatara Twp., PA Bonds	A	Interest	M	T					
46. -Templeton Global Bond Fund	A	Dividend	M	T					
47. -University of Northern Iowa Bonds	A	Interest	K	T					
48. -Utah State Building Ownership Authority Bonds	C	Interest	M	T					
49. -Vanguard Total Stock Market Fund	E	Dividend	L	T					
50. -Wasatch Long/Short Fund	E	Dividend	L	T					
51. -American Funds Washington Mutual Investors Fund	G	Dividend	O	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
I12 = 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

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)
52. -Wells Fargo Premier Large Company Growth Fund	G	Dividend	N	T					
53. -Whitesboro, NY Central School District Bonds	A	Interest	M	T					
54. -Williamsport, PA Sanitary Authority Bonds	A	Interest	K	T					
55. BMW Bank of North America Utah CD	A	Interest	K	T					
56. Exxon Mobil Corp. Stock	E	Dividend	L	T					
57. Fidelity Cash Reserves	A	Interest	K	T					
58. GlaxoSmithKline Capital plc Note	A	Interest	K	T					
59. Intel Corp. Note	A	Interest	K	T					
60. IBM Corp. Note	A	Interest	K	T					
61. Merck & Co., Inc. Note	A	Interest	K	T					
62. PIMCO Total Return Fund	A	Dividend	K	T					
63. PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T					
64. URBAN STORAGE FUND	A	Distribution	M	W					
65. VILLAGE AT CANTERBURY	A	Distribution	M	W					
66. PNC BANK --Accounts	A	Interest	L	T					
67. PAC Life--Universal Life Policy		None	K	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 B) 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 Q = Appraisal R = Cost (Real Estate Only) S = Assessment T = Cash Market
(See Column C2) U = Book Value V = Other W = Estimated

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/ Gerald J. Pappert**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		49	071	Notes payable to banks-secured			
U.S. Government securities -- see schedule		50	975	Notes payable to banks-unsecured			
Listed securities -- see schedule	8	889	642	Notes payable to relatives			
Unlisted securities -- see schedule		350	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable -- personal residence		582	773
Real estate owned -- personal residence		830	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		30	000				
Cash value-life insurance		20	731				
Other assets itemize:							
Pennsylvania SERS pension plan		3	509				
				Total liabilities		582	773
				Net Worth	9	641	155
Total Assets	10	223	928	Total liabilities and net worth	10	223	928
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							