

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Heffley, Marilyn	2. Court or Organization United States District Court Room 4001	3. Date of Report 05/14/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE - FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address UNITED STATES COURTHOUSE 601 MARKET STREET - ROOM 4001 PHILADELPHIA, PA 19106-1768		
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.	_____	_____

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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.)

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.)



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.)



NONE (No reportable reimbursements.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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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Name of Person Reporting

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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. PORTIN HOFFMAN FINANCIAL GROUP ADVISORY RETIREMENT SWEEP PROGRAM	A	Interest	K	T					
2. FIDELITY MONEY MARKET PREMIUM CLASS	A	Dividend	J	T					
3. AMERICAN AMCAP FUND F2	A	Dividend	K	T	Sold (part)	02/06/20	K	B	
4. AMERICAN AMCAP FUND F2	B	Distribution	J	T					
5. CALVERT SMALL CAP CL I	A	Dividend	K	T	Buy	10/05/20	K		
6. GOLDMAN SACHS ABSOLU RETURN TACKER	A	Dividend	K	T	Buy (add'l)	02/06/20	J		
7. GOLDMAN SACHS ABSOLU RETURN TACKER	A	Distribution	J	T					
8. JOHN HANCOCK DISCIPLINED VALUE MID CAP I	A	Dividend	L	T					
9. JOHN HANCOCK DISCIPLINED VALUE MID CAP I	A	Dividend	J	T					
10. OPPENHEIMER DEV MARKETS CLASS Y	A	Dividend	J	T					
11. INVESCO DEVELOPING MARKETS R6	A	Dividend	K	T					
12. PIMCO ALL ASSET ALL AUTHORITY-INSTIT CL	B	Dividend			Sold	10/02/20	L	B	
13. T ROWE PRICE BLUE CHIP GROWTH INC	A	Dividend	L	T					
14. T ROWE PRICE BLUE CHIP GROWTH INC	A	Dividend	J	T					
15. THE HARTFORD INTL OPPT FD CLASS I	A	Dividend	L	T					
16. UNDISCOVERED MGRS BEHAVIOR VALUE CL L	A	Dividend			Sold	10/02/20	K	A	

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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	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)
17. UNDISCOVERED MGRS BEHAVIOR VALUE CL L	A	Distribution			Sold	10/02/20	K	A	
18. VANGUARD EQUITY INCOME INVESTOR CL	C	Dividend	M	T					
19. VANGUARD EQUITY INCOME INVESTOR CL	A	Distribution	M	T					
20. AB GLOBAL BOND ADVISOR CLASS	A	Dividend			Sold	02/02/20	K	A	
21. BLACKROCK FLOATING RATE INC PORT INSTL	B	Dividend	K	T					
22. BLACKROCK FLOATING RATE INC PORT INSTL	A	Dividend	J	T					
23. EATON VANCE INCOME FUND OF BOSTON CL I	B	Dividend	K	T					
24. JOHN HANCOCK BOND FUND CLASS I	C	Dividend	L	T					
25. JOHN HANCOCK BOND FUND CLASS I	A	Distribution	L	T					
26. JP MORGAN EQUITY CLASS I	A	Dividend	K	T	Buy	10/02/20	K		
27. LORD ABBETT SHORT DURATION INCOME CL F	B	Dividend	L	T	Buy (add'l)	02/05/20	J		
28. LORD ABBETT SHORT DURATION INCOME CL F	A	Distribution	K	T	Buy (add'l)	10/02/20	J		
29. PGIM GLOBAL TOTAL RETURN CL Z	B	Dividend	K	T	Buy	02/06/20	K		
30. PGIM GLOBAL TOTAL RETURN CL Z	A	Distribution	K	T	Buy (add'l)	10/02/20	J		
31. GUARDIAN LIFE INS & ANNUITY CO (VARIABLE ANNUITY IRA PLAN)		None	M	T					
32. LIFE INS SUB ACCOUNT: AB VPS GROWTH & INCOME PORTFOLIO CLASS B		None	J	T					

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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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33. LIFE INS SUB ACCOUNT: BLACK ROCK CAPITAL APPRECIATION SERIES I		None	J	T					
34. LIFE INS SUB ACCOUNT: BLACK ROCK ADVANTAGE LARGE CAP CORE CL LL		None	J	T					
35. LIFE INS SUB ACCOUNT: COLUMBIA VARIABLE PORTFOLIO SMALL CAP VA		None	J	T					
36. LIFE INS SUB ACCOUNT: FIDELITY VIP MIDCAP PORT SRCL2		None	J	T					
37. LIFE INS SUB ACCOUNT: FIDELITY VIP MIDCAP PORT SRCL2		None	J	T					
38. LIFE INS SUB ACCOUNT: FRANKLIN SMALL CAP VALUE VIP FUND CLASS		None	J	T					
39. LIFE INS SUB ACCOUNT:GUARDIAN GLOBAL UTILITIES VIP FUND		None	K	T					
40. LIFE INS SUB ACCOUNT: GUARDIAN INTERNATIONAL GROWTH VIP FUND		None	J	T					
41. LIFE INS SUB ACCOUNT: GUARDIAN INTERNATIONAL VALUE VIP FUND		None	J	T					
42. LIFE INS SUB ACCOUNT: JANUS HENDERSON GLOBAL TECHNOLOGY PORTFO		None	K	T					
43. LIFE INS SUB ACCOUNT: MFS VIT UTILITIES SERIES SC		None	J	T					
44. LIFE INS SUB ACCOUNT: OPPENHEIMER GLOBAL STRATEGIC INCOME/VA S		None	K	T					
45. LIFE INS SUB ACCOUNT: OPPENHEIMER MAIN STREET SMALL CAP FUND/V		None	J	T					
46. LIFE INS SUB ACCOUNT: PIMCO TOTAL RETURN ADVISOT CL		None	J	T					
47. LIFE INS SUB ACCOUNT: PIONEER MID CAP VALUE VCT CL II		None	J	T					

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48. LIFE INS SUB ACCOUNT: VICTORY INCORE INVESTMENT QUALITY BOND V		None	K	T					
49. LIFE INS SUB ACCOUNT: VICTORY INCORE LOW DURATION BOND VIP SER		None	J	T					
50. LIFE INS SUB ACCOUNT: VICTORY RS LARGE CAP ALPHA VIP SERIES		None	K	T					
51. JOHN HANCOCK FUNDS STRATEGIC INCOME OPPORTUNITIES FUND CL I	A	Dividend	J	T					
52. PORTIN HOFFMAN FINANCIAL GROUP ADVISORY RETIREMENT SWEEP PROGRAM	A	Interest	J	T					
53. AMERICAN AMCAP FUND F2	A	Dividend	K	T					
54. AMERICAN AMCAP FUND F2	B	Distribution	J	T					
55. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Dividend	J	T					
56. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Distribution	J	T					
57. COLUMBIA OVERSEAS VALUE CLASS ADV	A	Dividend	J	T					
58. COLUMBIA OVERSEAS VALUE CLASS ADV	A	Distribution	J	T					
59. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Dividend	K	T					
60. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Distribution	K	T					
61. HARDING LOEVNER INST EMERGING MRKTS CL I	A	Dividend	K	T					
62. PARNASSUS MID CAP	A	Dividend	K	T					
63. PARNASSUS MID CAP	A	Distribution	J	T					

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64. VANGUARD EQUITY INCOME ADMIRAL FD	B	Dividend	K	T					
65. VANGUARD EQUITY INCOME ADMIRAL FD	A	Distribution	K	T					
66. ZACKS SMALL-CAP CORE FUND	A	Dividend	K	T					
67. AB GLOBAL BOND ADVISOR CLASS	A	Dividend			Sold	02/05/20	J	A	
68. BLACKROCK STRATEGIC INCOME OPPRTSI INSTL	B	Dividend	K	T					
69. BLACKROCK STRATEGIC INCOME OPPRTSI INSTL	A	Distribution	J	T					
70. COLUMBIA STRATEGIC INCOME FUND ADV	B	Dividend	K	T					
71. EATON VANCE FLOATING RATE ADVANTAGE CL I	A	Dividend	J	T					
72. LORD ABBETT SHORT DURATION INCOME CL F	A	Dividend	K	T					
73. PGIM GLOBAL TOTAL RETURN CL Z	A	Dividend	J	T	Buy	02/05/20	J		
74. PORTIN HOFFMAN FINANCIAL GROUP BANK DEPOSIT SWEEP PROGRAM	A	Interest	K	T					
75. FIDELITY MONEY MARKET PREMIUM PLUS	A	Dividend	K	T					
76. AMERICAN EUROPACIFIC GROWTH FUND CL F2	A	Dividend			Sold	03/18/20	J	A	
77. AMERICAN FUNDAMENTAL INVESTORS CL F2	A	Dividend	K	T					
78. AMERICAN FUNDAMENTAL INVESTORS CL F2	A	Distribution	K	T					
79. AMERICAN GROWTH FUND OF AMERICA CL F2	A	Dividend	K	T					
80. AMERICAN GROWTH FUND OF AMERICA CL F2	B	Distribution	K	T					

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81. BNY MELLON GLOBAL REAL RETURN CL I	A	Dividend	K	T					
82. CALVERT SMALL CAP CL I	A	Dividend	K	T	Buy	10/05/20	K		
83. COLUMBIA OVERSEAS VALUE CLASS ADV	A	Dividend	K	T					
84. COLUMBIA OVERSEAS VALUE CLASS ADV	A	Distribution	K	T					
85. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Dividend	K	T					
86. GOLDMAN SACHS ABSOLU RETURN TRACKER	A	Distribution	K	T					
87. HARDING LOEVNER INST EMERGING MRKTS CL I	A	Dividend	L	T					
88. JPMORGAN EQUITY INCOME CLASS I	B	Dividend	L	T					
89. JPMORGAN EQUITY INCOME CLASS I	A	Distribution	L	T					
90. MSIF INTERNATIONAL OPPORTUNITIES CL I	A	Dividend	K	T	Buy	03/17/20	J		
91. PARNASSUS MID CAP	A	Dividend	K	T					
92. PARNASSUS MID CAP	A	Distribution	K	T					
93. T ROWE PRICE BLUE CHIP GROWTH INC	A	Dividend	M	T	Sold (part)	10/02/20	J	B	
94. T ROWE PRICE BLUE CHIP GROWTH INC	B	Distribution	M	T					
95. TWEEDY BROWNE GLOBAL VALUE FUND	A	Dividend	K	T					
96. TWEEDY BROWNE GLOBAL VALUE FUND	A	Distribution	K	T					
97. AB GLOBAL BOND ADVISOR CLASS	A	Dividend			Sold	02/05/20	K	A	

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98. BLACKROCK PA MUNI BOND FD INSTL	A	Dividend	J	T					
99. COLUMBIA STRATEGIC INCOME FUND ADV	A	Dividend	K	T	Buy	04/21/20	K		
100. COLUMBIA STRATEGIC INCOME FUND ADV	A	Distribution	K	T	Buy (add'l)	10/02/20	J		
101. EATON VANCE FLOATING RATE ADVANTAGE CL I	A	Dividend			Sold	10/05/20	K	A	
102. FIDELITY TOTAL BOND	B	Dividend	K	T					
103. FIDELITY TOTAL BOND	B	Distribution	K	T					
104. NUVEEN PA MUNICIPAL BOND CL I	B	Dividend	L	T	Buy (add'l)	10/05/20	K		
105. NUVEEN PA MUNICIPAL BOND CL I	A	Distribution	L	T					
106. PGIM TOTAL RETURN BOND CL Z	B	Dividend	K	T	Buy (add'l)	02/05/20	K		
107. PGIM TOTAL RETURN BOND CL Z	A	Distribution	K	T	Buy (add'l)	10/02/20	J		
108. PGIM ABSOLUTE RETURN BOND FUND CL Z	A	Dividend			Sold	10/02/20	K	A	
109. UNDISCOVERED MGRS BEHAVIOR VALUE CL L	A	Dividend			Sold	10/02/20	K	A	
110. COLUMBIA VP SMALL-CAP VALUE GUARD INV B SERIES	A	Dividend	J	T	Buy	02/07/20	J		
111. FRANKLIN SMALL CAP VALUE VIP FUND CL GUARD B INV SERIES	A	Dividend	J	T	Buy	02/07/20	J		
112. PIONEER MID-CAP VALUE VCT FUND CL II GUARD INV B SERIES	A	Dividend	J	T	Buy	02/07/20	J		
113. RS LARGE-CAP ALPHA VIP SERIES GUARD INV B SERIES	A	Dividend	J	T	Buy	02/07/20	J		
114. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/07/20	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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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)
115. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	02/07/20	J		
116. ALLIANCEBERNSTEIN VPS GROWTH & INCOME PORTFOLIO CL B	A	Dividend	J	T	Buy	02/07/20	J		
117. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	02/07/20	J		
118. GUARDIAN U.S. GOVERNMENT SECURITIES VIP	A	Dividend	J	T	Buy	02/07/20	J		
119. GUARDIAN SMALL CAP CORE VIP FUND	A	Dividend	J	T	Buy	02/07/20	J		
120. GUARDIAN TOTAL RETURN BOND VIP FUND	A	Dividend	J	T	Buy	02/07/20	J		
121. GUARDIAN MULTI-SECTOR BOND VIP FUND	A	Dividend	J	T	Buy	02/07/20	J		
122. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/01/20	J		
123. COLUMBIA VP SMALL-CAP VALUE GUARD INV B SERIES	A	Dividend	J	T	Buy	05/01/20	J		
124. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend	J	T	Buy	05/01/20	J		
125. FRANKLIN SMALL CAP VALUE VIP FUND CL GUARD B INV SERIES	A	Dividend	J	T	Buy	05/01/20	J		
126. PIONEER MID-CAP VALUE VCT FUND CL II GUARD INV B SERIES	B	Dividend	J	T	Buy	05/01/20	J		
127. RS LARGE-CAP ALPHA VIP SERIES GUARD INV B SERIES	B	Dividend	J	T	Buy	05/01/20	J		
128. ALLIANCEBERNSTEIN VPS GROWTH & INCOME PORTFOLIO CL B	A	Dividend	J	T	Buy	05/01/20	J		
129. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend	J	T	Buy	05/01/20	J		
130. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend	J	T	Buy	05/01/20	J		
131. GUARDIAN SMALL CAP CORE VIP FUND	B	Dividend	J	T	Buy	05/01/20	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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		

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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)
132. GUARDIAN GLOBAL UTILITIES VIP FUND	A	Dividend	J	T	Buy	05/01/20	J		
133. RS LARGE-CAP ALPHA VIP SERIES GUARD INV B SERIES	A	Dividend	J	T	Buy	08/07/20	J		
134. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	B	Dividend	J	T	Buy	08/07/20	J		
135. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	B	Dividend	J	T	Buy	08/07/20	J		
136. ALLIANCEBERNSTEIN VPS GROWTH & INCOME PORTFOLIO CL B	A	Dividend	J	T	Buy	08/07/20	J		
137. GUARDIAN U.S. GOVERNMENT SECURITIES VIP	B	Dividend	J	T	Buy	08/07/20	J		
138. GUARDIAN TOTAL RETURN BOND VIP FUND	B	Dividend	J	T	Buy	08/07/20	J		
139. GUARDIAN MULTI-SECTOR BOND VIP FUND	B	Dividend	J	T	Buy	08/07/20	J		
140. FRANKLIN SMALL CAP VALUE VIP FUND CL GUARD B INV SERIES	A	Dividend	J	T	Buy	11/06/20	J		
141. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/06/20	J		
142. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend	J	T	Buy	11/06/20	J		
143. ALLIANCEBERNSTEIN VPS GROWTH & INCOME PORTFOLIO CL B	A	Dividend	J	T	Buy	11/06/20	J		
144. GUARDIAN U.S. GOVERNMENT SECURITIES VIP	A	Dividend	J	T	Buy	11/06/20	J		
145. GUARDIAN SMALL CAP CORE VIP FUND	A	Dividend	K	T	Buy	11/06/20	K		
146. GUARDIAN TOTAL RETURN BOND VIP FUND	A	Dividend	J	T	Buy	11/06/20	J		
147. GUARDIAN MULTI-SECTOR BOND VIP FUND	A	Dividend	J	T	Buy	11/06/20	J		
148. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend			Sold	02/07/20	J	A	

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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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)
149. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend			Sold	02/07/20	J	A	
150. JANUS ASPEN GLOBAL TECHNOLOGY SS - GUARD INV B SERIES	A	Dividend			Sold	02/07/20	J	A	
151. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend			Sold	02/07/20	J	A	
152. GUARDIAN LARGE-CAP FUNDAMENTAL GROWTH VI	A	Dividend			Sold	02/07/20	J	A	
153. GUARDIAN LARGE-CAP DISCIPLINED GROWTH VI	B	Dividend			Sold	02/07/20	J	A	
154. GUARDIAN GLOBAL UTILITIES VIP FUND	A	Dividend			Sold	02/07/20	J	A	
155. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	B	Dividend			Sold	02/07/20	J	A	
156. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	B	Dividend			Sold	05/01/20	J	A	
157. JANUS ASPEN GLOBAL TECHNOLOGY SS - GUARD INV B SERIES	A	Dividend			Sold	05/01/20	J	A	
158. GUARDIAN LARGE-CAP FUNDAMENTAL GROWTH VI	A	Dividend			Sold	05/01/20	J	A	
159. GUARDIAN LARGE-CAP DISCIPLINED GROWTH VI	A	Dividend			Sold	05/01/20	J	A	
160. GUARDIAN U.S. GOVERNMENT SECURITIES VIP	B	Dividend			Sold	05/01/20	J	A	
161. GUARDIAN TOTAL RETURN BOND VIP FUND	B	Dividend			Sold	05/01/20	J	A	
162. GUARDIAN MULTI-SECTOR BOND VIP FUND	B	Dividend			Sold	05/01/20	J	A	
163. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend			Sold	08/07/20	J	A	
164. COLUMBIA VP SMALL-CAP VALUE GUARD INV B SERIES	A	Dividend			Sold	08/07/20	J	A	
165. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend			Sold	08/07/20	J	A	

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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		

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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)
166. FRANKLIN SMALL CAP VALUE VIP FUND CL GUARD B INV SERIES	A	Dividend			Sold	08/07/20	J	A	
167. PIONEER MID-CAP VALUE VCT FUND CL II GUARD INV B SERIES	A	Dividend			Sold	08/07/20	J	A	
168. JANUS ASPEN GLOBAL TECHNOLOGY SS - GUARD INV B SERIES	A	Dividend			Sold	08/07/20	J	A	
169. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend			Sold	08/07/20	J	A	
170. GUARDIAN LARGE-CAP FUNDAMENTAL GROWTH VI	A	Dividend			Sold	08/07/20	J	A	
171. GUARDIAN LARGE-CAP DISCIPLINED GROWTH VI	B	Dividend			Sold	08/07/20	J	A	
172. GUARDIAN SMALL CAP CORE VIP FUND	A	Dividend			Sold	08/07/20	J	A	
173. GUARDIAN GLOBAL UTILITIES VIP FUND	A	Dividend			Sold	08/07/20	J	A	
174. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
175. COLUMBIA VP SMALL-CAP VALUE GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
176. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
177. FRANKLIN SMALL CAP VALUE VIP FUND CL GUARD B INV SERIES	A	Dividend			Sold	09/15/20	J	A	
178. PIONEER MID-CAP VALUE VCT FUND CL II GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
179. RS LARGE-CAP ALPHA VIP SERIES GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
180. RS INVESTMENT QUALITY BOND VIP SERIES - GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
181. RS LOW DURATION BOND VIP SERIES - GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
182. ALLIANCEBERNSTEIN VPS GROWTH & INCOME PORTFOLIO CL B	A	Dividend			Sold	09/15/20	J	A	

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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		

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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)
183. JANUS ASPEN GLOBAL TECHNOLOGY SS - GUARD INV B SERIES	A	Dividend			Sold	09/15/20	J	A	
184. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend			Sold	09/15/20	J	A	
185. GUARDIAN LARGE-CAP FUNDAMENTAL GROWTH VI	A	Dividend			Sold	09/15/20	J	A	
186. GUARDIAN LARGE-CAP DISCIPLINED GROWTH VI	A	Dividend			Sold	09/15/20	J	A	
187. GUARDIAN U.S. GOVERNMENT SECURITIES VIP	A	Dividend			Sold	09/15/20	J	A	
188. GUARDIAN SMALL CAP CORE VIP FUND	A	Dividend			Sold	09/15/20	J	A	
189. GUARDIAN TOTAL RETURN BOND VIP FUND	A	Dividend			Sold	09/15/20	J	A	
190. GUARDIAN GLOBAL UTILITIES VIP FUND	A	Dividend			Sold	09/15/20	J	A	
191. GUARDIAN MULTI-SECTOR BOND VIP FUND	A	Dividend			Sold	09/15/20	J	A	
192. BLACKROCK LARGE-CAP CORE CL III - GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
193. COLUMBIA VP SMALL-CAP VALUE GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
194. FIDELITY VIP MID-CAP PORT SRCL2 - GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
195. PIONEER MID-CAP VALUE VCT FUND CL II GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
196. RS LARGE-CAP ALPHA VIP SERIES GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
197. JANUS ASPEN GLOBAL TECHNOLOGY SS - GUARD INV B SERIES	A	Dividend			Sold	11/06/20	J	A	
198. GUARDIAN INTERNATIONAL GROWTH VIP FUND	A	Dividend			Sold	11/06/20	J	A	
199. GUARDIAN INTERNATIONAL VALUE VIP FUND	A	Dividend			Sold	11/06/20	J	A	

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
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		

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)
200. GUARDIAN LARGE-CAP FUNDAMENTAL GROWTH VI	A	Dividend			Sold	11/06/20	J	A	
201. GUARDIAN LARGE-CAP DISCIPLINED GROWTH VI	A	Dividend			Sold	11/06/20	J	A	
202. GUARDIAN GLOBAL UTILITIES VIP FUND	A	Dividend			Sold	11/06/20	J	A	
203.									
204.									
205.									

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

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05/14/2021

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/ Marilyn Heffley**

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