

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 8/12/2014
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 01/01/2013 to 12/31/2013
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.	

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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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. 10. General Electric Co. (11)	D	Dividend	M	T	Distributed (part)	09/18/13	J		Gift to
2.					Donated (part)				
3. 58. Home Depot Inc. (5) IRA	B	Dividend	L	T					
4. 59. Intel Corp. (5) IRA	C	Dividend	M	T					
5. 69. Merck & Co. (5) IRA	D	Dividend	M	T					
6. 94. Wells Fargo (10)	A	Interest	K	T					
7. 99. NCR Corporation (12)		None	J	T					
8. 102. CitiGroup (5) IRA	A	Dividend	L	T					
9. 125.Citigroup(9)	A	Dividend	J	T					
10. 134. Oracle Corp. (5) IRA	A	Dividend	L	T					
11. 137. Cisco Sys Inc. (5) IRA	C	Dividend	M	T					
12. 152. Pfizer, Inc. (5) IRA	C	Dividend	M	T					
13. 162. Ishares MSCI EAFE Fund (6) IRA	B	Dividend	L	T	Buy (add'l)	01/16/13	K		
14. 163. Allscripts Healthcare Shs Inc. (6) IRA		None	K	T	Sold (part)	08/12/13	J	B	
15. 165. BDP-Morgan Stanley Bank (11)	A	Interest	M	T					
16. 166. Royal Dutch Shell PLC(12)	B	Dividend	K	T					
17. 171. Royal Dutch Shell PLC(9)	C	Dividend	L	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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	(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. 173. BDP Morgan Stanley Bank (12)	A	Interest	K	T					
19. 182. Nuveen Global VLE Opport Fund (12) (S)	B	Dividend			Sold	08/16/13	K	A	
20. 183. Eaton Van Tax MNGD GLBL (9)	C	Dividend	K	T					
21. 184. BDP- Morgan Stanley Bank (9)	A	Interest	K	T					
22. 185. Nuveen Global VLE Opport Fund (9)	B	Dividend			Sold	08/16/13	K	A	
23. 186. BDP - Morgan Stanley Bank (5) IRA	A	Interest	L	T					
24. 188. Walgreen Co (5) IRA	B	Dividend			Sold	09/06/13	M	E	
25. 189. Starbucks Corp. Washington (5) IRA	B	Dividend	M	T					
26. 191. MS Emerging Mkts Domestic Debt (9)	B	Dividend	K	T					
27. 193. AT&T (12)	C	Dividend	L	T					
28. 194. Teradata (12)		None	J	T					
29. 197. Manitek Intl Inc. Com. (12)		None	L	T	Sold (part)	03/22/13	K	E	
30.					Sold (part)	10/17/13	J	D	
31.					Sold (part)	10/21/13	J	D	
32. 203. Wisdom Tree Int'l Large CAP (DOL) (6) IRA	B	Dividend	L	T					
33. 204. Ishares MSCI Emerging Mkts FD(6) IRA	B	Dividend	L	T					
34. 206. Dow Chemical Co. (5) IRA	B	Dividend	L	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	
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. 207. Chesapeake Energy Corp. (5) IRA	A	Dividend	L	T					
36. 208. Arcelormittal NY Reg (5) IRA	A	Dividend	L	T					
37. 209. Express Scripts Hldg Co Com (5) IRA		None			Sold	05/10/13	J	D	
38. 210. Manitech Int'l Inc Com (6) IRA		None			Sold	01/29/13	K	D	
39. 211. Morgan Stanley (9)	A	Dividend	L	T					
40. 212. MS CMT PPN (11)	B	Interest	L	T					
41. 213. BDP - Morgan Stanley Bank (6) IRA	A	Interest	J	T					
42. 214. Visteon Corp WTS Exp 10/5/15 (9)		None	J	T					
43. 215. Facebook Inc. C1-A (5) IRA		None	L	T	Buy	05/10/13	K		
44. 216. Broadcom Corp. (6) IRA	A	Dividend	J	T	Buy	01/29/13	K		
45. 217. Facebook Inc C1-A (6) IRA		None	K	T	Buy	01/29/13	K		
46. 218. Seadrill Ltd. (9)	C	Dividend	K	T	Buy	02/27/13	K		
47. 219. Roundys Inc. (12)	B	Dividend	K	T	Buy	03/22/13	K		
48.					Buy (add'l)	05/02/13	J		
49. 220. 3D Systems (12)		None	K	T	Buy	08/29/13	K		
50.					Sold (part)	11/11/13	J	B	
51. 221. USA Technologies (12)		None	J	T	Buy	10/30/13	J		

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

- (5) (Lines 58, 59, 69, 102, 134, 137, 152, 186, 188, 189, 206, 207, 208, 209, 215) Securities in an IRA Account with Morgan Stanley.
- (6) (Lines 162, 163, 203, 204, 210, 213, 216, 217) Securities in [REDACTED] IRA Account with Morgan Stanley.
- (9) (Lines 125, 171, 183, 184, 185, 191, 211, 214, 218) Securities in Family Trust of which [REDACTED] is co-trustee and income beneficiary.
- (10) (Line 94) Checking Account - First Union changed name to Wachovia. Wachovia changed name to Wells Fargo.
- (11) (Lines 10, 165, 212) Securities in a Brokerage Account with Morgan Stanley.
- (12) (Lines 99, 166, 173, 182, 193, 194, 197, 219, 220, 221) Securities in [REDACTED] Brokerage Account with Morgan Stanley.
- (58) (Line 10) 105 shares gifted to [REDACTED]
- (59) (Line 10) 188 shares donated to Albert Einstein Medical Center

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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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