

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) Bartle III, Harvey	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 04/08/2021
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 01/01/2020 to 12/31/2020
	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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Bartle III, Harvey

Date of Report

04/08/2021

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. 2020	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.				

Name of Person Reporting	Date of Report
Bartle III, Harvey	04/08/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Bartle III, Harvey

Date of Report

04/08/2021

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. 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. Bank of America Corp.	A	Dividend	L	T	Buy	11/19/20	K		
6. CitiCorp Inc.	A	Dividend	K	T	Buy	11/19/20	K		
7. Delphi Automotive Systems (Com.)		None	J	T					
8. TD Bank	A	Interest	M	T					
9. Vanguard-Windsor II (IRA Rollover)	D	Distribution	M	T					
10. Merrill Lynch (Mercury U.S. Large Cap Fund Class B)		None	J	T					
11. TIAA/CREF (Retirement Fund)	E	Int./Div.	O	T					
12. Vanguard (Wellington Fund Admr)	E	Dividend	N	T					
13. Vanguard (Wellington Fund Admr)	F	Dividend	O	T					
14. Vanguard (Pa. Long Term Tax Exempt Fund)	A	Interest	K	T					
15. American Mut. Fd. Inc. A	B	Dividend	L	T	Sold (part)	11/19/20	L	E	
16. Fundamental Invs. Inc. Class A	A	Dividend	L	T					
17. Philadelphia Contributionship	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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. Pa. St. Turnpike Bond Ser. C	A	Interest			Redeemed	12/01/20	J		
19. Cranberry Twp. Pa Bond	A	Interest	J	T					
20. Chester County Pa School Auth. Bond	A	Interest	J	T					
21. Moon Area School Dist. Pa Bond	A	Interest	K	T					
22. State Pub. School Bldg. Auth. Pa Bond	A	Interest	J	T					
23. Commonwealth Fing. Authority Pa Bond	A	Interest	J	T					
24. Pa. Economic Dev. Fing. Authority Bond	A	Interest	K	T					
25. Troy, Pa Area School Dist. Bradford County Bond	A	Interest	J	T					
26. Blackrock Long Term Mun. Advisor Trust	B	Dividend	K	T					
27. BYN Mellon Muni Bd Fund	B	Dividend	K	T					
28. Indiana State Fin Auth Wastewater Util Rev	A	Interest	J	T					
29. Pa State Turnpike Rev. Series E	A	Interest	J	T					
30. Trenton NJ Parking Authority	A	Interest	J	T					
31. Palm Desert CA Redev. Agy	A	Interest	J	T					
32. Clackamas Cnty Org. Sch. Dist	A	Interest	J	T					
33. Wisconsin Hsg. & Econ Dev. Auth	A	Interest	J	T					
34. Scranton Pa. Sch Dist GO	A	Interest	J	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

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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Bartle III, Harvey

Date of Report

04/08/2021

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☐ NONE (No reportable income, assets, or transactions.)

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	(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)
35. Alerian MLP	C	Dividend	K	T	Buy (add'l)	11/19/20	J		
36. Blackrock Muniyield PA Quality Fund	B	Dividend	K	T					
37. Eaton Vance PA Muni. Income Trust Fund	B	Dividend	K	T					
38. Invesco PA Value Muni Income Trust	A	Dividend	J	T					
39. QVC Inc. 6.375% PFD	C	Interest	L	T					
40. Monroe County NY Pub	A	Interest	J	T					
41. New Mexico Mtg. Fin Auth	A	Interest	J	T					
42. Ebert Met Dist Co RFDG	A	Interest	J	T					
43. Invesco High Income Fund	B	Dividend			Sold	11/19/20	K		
44. West VA St, HSG Dev. Fund	A	Interest	K	T					
45. MetLife Inc. 5.625% Pfd	B	Interest	K	T					
46. J.P. Morgan Ser. DD Pfd	B	Interest	K	T					
47. Telephone & 6.675% Perp	B	Interest	K	T					
48. U.S. B ancorp 5.15% Pfd	B	Interest	K	T					
49. Wells Fargo 5.625% Pfd	B	Interest	K	T					
50. Lake Mun. Util Dist TX	A	Interest	J	T					
51. Appollo Tactical Income Fund, Inc.	B	Dividend			Sold	11/19/20	K		

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	
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	(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)
52. Kent St. Univ. Revs BSD 2019	A	Interest	J	T					
53. Connellsville PA Area Sch Dist RFDG	A	Interest	J	T					
54. Capital One Fin. 5% Pfd	B	Dividend	K	T					
55. Citizens Finl Corp. 5% Pfd	B	Dividend	K	T					
56. Allen Park MI	A	Interest			Buy	12/07/20	J		
57.					Sold	12/23/20	J	A	
58. New Castle PA Swr. Rev.	A	Interest	J	T	Buy	12/23/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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(See Column C2)

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting	Date of Report
Bartle III, Harvey	04/08/2021

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

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FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Bartle III, Harvey

Date of Report

04/08/2021

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/ 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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Washington, D.C. 20544