

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) HART, JACOB P.	2. Court or Organization EASTERN DISTRICT OF PA.	3. Date of Report 04/22/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time recalled U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address Room 3006 U.S. Courthouse 601 Market St. 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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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. 2013	Fiction Writer & Book Publisher
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
HART, JACOB P.	04/22/2014

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
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 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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. DAVIS OF NEW YORK MUTUAL FUND	A	Dividend	K	T					
2. BLACKROCK WORLD INVESTMENT TRUST	A	Dividend	J	T					
3. CITIBANK BANK DEPOSIT PROGRAM	A	Interest	J	T					
4. EATON VANCE DIV. EQUITY INCOME FUND	B	Dividend	J	T					
5. EATON VANCE TAX-MANAGED GLOBAL INCOME FUND	B	Dividend	J	T					
6. AB GLOBAL GOVERNMENT INCOME	A	Dividend	J	T					
7. IVY ASSET STRATEGY FUND	A	Dividend	K	T					
8. LOOMIS SAYLES STRATEGIC INCOME	A	Dividend	K	T					
9. DELAWARE TAX FREE PENNSYLVANIA FUND	C	Dividend	M	T					
10. BLACKROCK CREDIT ALL INC TR IV	B	Dividend	K	T					
11. ALPINE ULT SHT TX OPT INC INV	B	Dividend	N	T					
12. CITIGROUP IRA IRA (H) (assests below)									
13. --DWS HIGH RET. EQ	A	Dividend	K	T					
14. --AB GLOBAL GOVERNMENT INC.	B	Dividend	L	T					
15. --BLACKROCK GLOBAL ALLOCATION FUND	A	Dividend	K	T					
16. --COLUMBIA MARSICO 21ST CENTURY FUND		None	K	T					
17. --LOOMIS SAYLES STRATEGIC INCOME	C	Dividend	M	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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. --EATON VANCE GLOBAL MACRO	C	Dividend	L	T					
19. --ING GROEP NV	C	Dividend	K	T					
20. --NORTHSTAR REALTY FNC		None	K	T					
21. --NEUBERGER BERMAN STR INC INST	A	Dividend	L	T					
22. --MS LIQUID ASSET FUND	A	Dividend	J	T					
23. --LEGG MASON PARTNERS SMALL CAP GROWTH FUND(Now CLEARBRIDGE)		None	J	T					
24. --CG CAPITAL MARKETS MONEY MARKET - TGMU		None	K	U					
25. --CG CAPITAL MARKETS CORE FIXED INCOME - TIU	C	Dividend	L	T	Sold (part)	11/11/13	J	A	
26. --CG CAPITAL MARKETS LARGE CAP VALUE - TLVU	B	Dividend	M	T	Sold (part)	03/08/13	K	D	
27. --CG CAPITAL MARKETS SMALL CAP VALUE - TSVU	A	Dividend	J	T	Sold (part)	03/08/13	J	B	
28. --CG CAPITAL MARKETS HIGH YIELD - THYU	A	Dividend	K	T	Sold (part)	03/08/13	K	A	
29. --CG CAPITAL MARKETS EMERGING MARKETS - TEMU	A	Dividend	K	T	Sold (part)	11/08/13	L	D	
30. --CG CAPITAL MARKETS INTERNATIONAL FIXED INCOME - TIFU	B	Dividend	K	T	Sold (part)	03/18/13	K	B	
31. --CG CAPITAL MARKETS INTERNATIONAL EQUITY - TIEU	B	Dividend	M	T	Sold (part)	11/11/13	J	B	
32. --CG CAPITAL MARKETS LARGE CAP GROWTH - TLGU	A	Dividend	M	T	Sold (part)	09/13/13	L	E	
33. --CG CAPITAL MARKETS SMALL CAP GROWTH - TSGU		None	J	T	Sold (part)	11/08/13	J	D	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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)
34. --PIMCO DYNAMIC INCOME FUND	D	Dividend	M	T					
35. CITIZENS BANK MONEY MARKET ACCOUNTS (J)	A	Interest	L	T					
36. CITIZENS BANK CD	A	Interest			Matured	02/26/13	L	C	
37. CITIZENS BANK CD	A	Interest			Matured	03/27/13	L	D	
38. CITIGROUP SEP IRA assets listed below (H)									
39. --GOLDMAN SACHS CAPITAL GROWTH	A	Dividend	K	T					
40. --LEGG MASON STRAT. BOND (now LEGG MASON WESTERN ASSETS)	A	Dividend	J	T					
41. --PIONEER HIGH YIELD	A	Dividend	J	T					
42. --ISHARES MSCI EAFE FUND	A	Dividend	J	T					
43. --ISHARES RUSSELL 1000 INDEX FUND (S)	A	Dividend	J	T					
44. --EATON VANCE DIV. EQ. INCOME FUND	A	Dividend	J	T					
45. --PIONEER FUND INC	A	Dividend	J	T					
46. --AB GLOBAL GOV INCOME TRUST	A	Dividend	J	T					
47. --LOOMIS SAYLES STRAT INC. FUND	B	Dividend	K	T					
48. --MS LIQUID ASSET FUND	A	Dividend	J	T					

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

HART, JACOB P.

Date of Report

04/22/2014

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/ JACOB P. HART

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