

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Goldberg, Richard W.	2. Court or Organization US Court of International Trade	3. Date of Report 05/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☒ Amended Report	
7. Chambers or Office Address USCIT One Federal Plaza New York, NY 10278		
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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Goldberg, Richard W.

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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.)

<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.	
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.				

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Goldberg, Richard W.	05/01/2017

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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Goldberg, Richard W.

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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. Regents University of Minnesota	A	Int./Div.	L	T					
2. Metropolitan Washington DC	A	Interest	K	T					
3. Excel Maritime Carriers	B	Int./Div.	J	T					
4. Fairfax Cty VA Pub Impt	C	Interest	L	T					
5. Fargo ND Hosp Facs Rev	C	Interest	L	T					
6. Illinois Hlth Fac Auth	B	Interest	K	T					
7. Wells Fargo & Company	A	Interest	J	T					
8. Wachovia Bank, McLean VA, Checking, Savings, CDs	B	Interest	K	T					
9. Fidelity Adv Diversified Intl	A	Interest	J	T					
10. Mineral Rights, McKenzie County, ND (see add'l comments)	D	Rent	J	W					
11. Washington, DC Met.	A	Int./Div.	K	T					
12. New World Fd CL A	A	Interest	J	T					
13. T Rowe Price New America	A	Int./Div.			Sold	8/31/16	K	A	
14. Minneapolis MN Healthcare	A	Int./Div.	L	T					
15. Coca Cola Company	A	Int./Div.	J	T					
16. Coca Cola Company	C	Int./Div.	J	T					
17. Wisconsin St GO Bonds 2011C	A	Int./Div.	L	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 =\$250,000,001 - \$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)
18. Oppenheimer Intl Growth Fund C1A	D	Int./Div.	J	T					
19. Allstate Corp. 6.25% Pfd Ser F	A	Int./Div.	K	T					
20. I Shares US Preferred Stock ETF	E	Dividend	K	T					
21. Coca Cola Company	C	Dividend	J	T					
22. Coca Cola Company	D	Dividend	J	T					
23. Shake Shack Inc	A	Int./Div.	J	T					
24. Berkshire Hathaway Inc Del	A	Int./Div.	J	T					
25. Goldman Sachs Group Inc Ser-D	A	Int./Div.	K	T					
26. Shake Shack Inc	A	Int./Div.	J	T					
27. Glaukos Corporation	A	Int./Div.	J	T					
28. Shake Shack Inc	A	Int./Div.	J	T					
29. Wells Fargo & Co	A	Int./Div.	J	T					
30. Celgene Corp	A	Int./Div.	J	T					
31. Royal Bank of Canada	A	Int./Div.	K	T					
32. Dow Chemical Company	A	Int./Div.	J	T	Buy	1/25/16	J		
33. Coca Cola Company	A	Int./Div.	J	T	Buy	8/31/16	J		
34. Celgene Corp.	A	Int./Div.	K	T	Buy	8/31/16	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	
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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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. Assets of Spouse:									
36. General Electric	B	Int./Div.	J	T					
37. Kinder Morgan	A	Interest	J	T					
38. US Bancorp	B	Int./Div.	J	T					
39. Virginia GO Bonds	A	Interest	K	T					
40. Harrisonburg VA IDA Hospital	A	Int./Div.			Matured	8/15/16	K		
41. Harrisonburg VA Indl Dev	A	Int./Div.			Matured	8/15/16	L		
42. Benson, MN Bonds	A	Interest	K	T					
43. Blue Ridge Muni Bond	C	Interest	L	T					
44. Roanoke Cnty VA OID	A	Interest	K	T					
45. Income Account Cash, First Union Bank	A	Interest	J	T					
46. Great Hall Money Market Fund	A	Dividend	J	T					
47. First Union ,checking, svgs, CDs	A	Interest	J	T					
48. Home Depot	A	Interest	J	T					
49. Minnesota St. Higher Ed	A	Interest	K	T					
50. New World Fund CL A	A	Interest	J	T					
51. Broward County FL Edl Fac	A	Int./Div.			Matured	5/18/16	K		

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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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52. Otter Creek Water Bonds	A	Int./Div.	K	T					
53. Jacksonville Fla Economic Bonds	A	Interest			Matured	5/16/16	K		
54. Reading, PA Bonds	A	Int./Div.	K	T					
55. Coca Cola stock	A	Int./Div.	J	T					
56. Artisan International Value Mutual Fund	A	Interest	J	T					
57. Dow Chemical	A	Int./Div.	J	T					
58. General Mills	A	Int./Div.	J	T					
59. Jensen Portfolio	A	Int./Div.	J	T					
60. Mineral Rights, McKenzie County, ND (see add'l comments)	C	Rent	J	W					
61. Verizon Communications	A	Int./Div.	J	T					
62. Bank of Montreal	A	Int./Div.	J	T					
63. Moorhead, MN Edl Facs Rev	A	Int./Div.			Matured	4/11/16	K		
64. Johnson & Jonnson	D	Dividend	J	T					
65. General Electric	D	Dividend	J	T					
66. Dow Chemical Co.	D	Dividend	J	T					
67. Dow Chemical	A	Dividend	J	T					
68. Ishares Core High Divident ETF	A	Dividend	J	T					

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69. Johnson & Johnson	A	Int./Div.	J	T					
70. Kinder Morgan Inc	A	Int./Div.			Sold	8/31/16	J		
71. Medtronic PLC	A	Int./Div.	J	T					
72. Proshares S&P 500 Dividend	A	Dividend	J	T					
73. United Health Group Inc	A	Int./Div.	J	T	Buy	8/31/16	J		
74. Newell Brands, Inc.	A	Int./Div.	K	T	Buy	8/31/16	K		
75. Chevron Corp.	A	Int./Div.	K	T	Buy	8/31/16	K		
76. Costco Wholesale Corp.	A	Int./Div.	K	T	Buy	8/31/16	K		
77. United Parcel Service Inc.	A	Int./Div.	K	T	Buy	9/1/16	K		
78. Nextera Energy Inc.	A	Int./Div.	J	T	Buy	9/1/16	J		
79. Microsoft Corp.	A	Int./Div.	J	T	Buy	9/1/16	J		
80. Kraft Heinz Company	A	Int./Div.	K	T	Buy	9/1/16	J		
81. Facebook Inc.	A	Int./Div.	J	T	Buy	9/1/16	J		
82. Apple Inc.	A	Int./Div.	K	T	Buy	9/1/16	K		
83. Virginia St Public Sch Auth Spl	A	Int./Div.	L	T	Buy	8/29/16	L		
84. State Street Corporation	A	Int./Div.	K	T	Buy	8/31/16	K		
85. JP Morgan Chase & Co.	A	Int./Div.	K	T	Buy	8/31/16	K		

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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)
86. Verizon Communications	A	Int./Div.	J	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	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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

Investments and Trusts:

Mineral Rights, McKenzie County, ND: Own mineral rights on 20 acres of land, McKenzie County, North Dakota. Five year mineral lease, \$10,000 was paid in advance, from Altair Corporation.

Spouse: Mineral Rights, McKenzie County, ND: Inheritance in 2012, mineral rights on 3 of acres of land, McKenzie County, North Dakota. Land being leased.

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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/ Richard W. Goldberg**

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