

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 04/25/2019
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 01/01/2018 to 12/31/2018
	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.	

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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. 2018	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.				

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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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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)
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. Delphi Automotive Systems (Com.)		None	J	T					
6. TD Bank	A	Interest	L	T					
7. Vanguard-Windsor II (IRA Rollover)	D	Distribution	M	T					
8. Merrill Lynch (Mercury U.S. Large Cap Fund Class B)		None	J	T					
9. TIAA/CREF (Retirement Fund)	E	Int./Div.	O	T					
10. Vanguard (Wellington Fund Admr)	D	Dividend	M	T					
11. Vanguard (Wellington Fund Admr)	E	Dividend	O	T					
12. Vanguard (Pa. Long Term Tax Exempt Fund)	A	Interest	K	T					
13. American Mut. Fd. Inc. A	D	Dividend	M	T					
14. General Electric	B	Dividend			Sold	10/04/18	K	B	
15. Fundamental Invs. Inc. Class A (See VIII)	A	Dividend	L	T	Sold (part)	10/04/18	L		
16. Growth Fund America Class A	B	Dividend	N	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	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)
18. Cumberland County Pa. Mun. Authority Bond	A	Interest			Redeemed	11/01/18	J		
19. Upper Merion Twp. Bond	A	Interest			Redeemed	12/3/18	J		
20. Pa. St. 1st Series Bond	A	Interest	K	T					
21. Pa. St. Higher EFA Rev Temple U. Bond	A	Interest			Redeemed	06/15/18	J		
22. Pa. St. Turnpike Bond Ser. C	A	Interest	J	T					
23. Cranberry Twp. Pa Bond	A	Interest	J	T					
24. Chester County Pa School Auth. Bond	A	Interest	J	T					
25. Moon Area School Dist. Pa Bond	A	Interest	J	T					
26. State Pub. School Bldg. Auth. Pa Bond	A	Interest	J	T					
27. Dauphin County Pa G/O Bond	A	Interest			Sold	11/21/18	J		
28. Commonwealth Fing. Authority Pa Bond	A	Interest	J	T					
29. Pa. Economic Dev. Fing. Authority Bond	A	Interest	J	T					
30. Troy, Pa Area School Dist. Bradford County Bond	A	Interest	J	T					
31. Blackrock Long Term Mun. Advisor Trust	B	Dividend	K	T					
32. Dreyfus Mun. Bond Infrastructure Fund	B	Dividend	K	T					
33. Indiana State Fin Auth Wastewater Util Rev	A	Interest	J	T					
34. Invesco Trust Invt Grade Mun	B	Interest			Sold	10/04/18	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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35. Putnam Mun Opportunities Trust	B	Interest			Sold	10/04/18	K		
36. Pa State Turnpike Rev. Series E	A	Interest	J	T					
37. Trenton NJ Parking Authority	A	Interest	J	T					
38. Palm Desert CA Redev. Agy	A	Interest	J	T					
39. Clackamas Cnty Org. Sch. Dist	A	Interest	J	T					
40. Connecticut St. Hsg. Fin. Auth	A	Interest			Redeemed	11/15/18	J		
41. Wisconsin Hsg. & Econ Dev. Auth	A	Interest	J	T					
42. Scranton Pa. Sch Dist GO	A	Interest	J	T	Buy	12/06/18	J		
43. Alerian MLP	A	Dividend			Buy	10/04/18	K		
44.					Sold	12/31/18	K		
45. Ares Dynamic Credit Allocation Fund	A	Dividend			Buy	10/04/18	K		
46.					Sold	12/31/18	K		
47. Blackrock Muniyield PA Quality Fund	A	Dividend	K	T	Buy	10/04/18	K		
48. Eaton Vance PA Muni. Income Trust Fund	B	Dividend	K	T	Buy	10/04/18	K		
49. Invesco PA Value Muni Income Trust	A	Dividend	J	T	Buy	10/04/18	J		
50. QVC Inc. 6.375% PFD	A	Interest	K	T	Buy	10/04/18	K		
51. Monroe County NY Pub	A	Interest	J	T	Buy	06/20/18	J		

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52. New Mexico Mtg. Fin Auth	A	Interest	J	T	Buy	11/02/18	J		
53. Ebert Met Dist Co RFDG	A	Interest	J	T	Buy	11/30/18	J		
54. Invesco High Income Fund	A	Dividend	K	T	Buy	12/31/18	K		

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

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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/ 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