

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) DuBois, Jan E.	2. Court or Organization U.S. DISTRICT COURT (PAED)	3. Date of Report 08/11/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 U.S. COURTHOUSE 601 MARKET STREET PHILLIDELPHIA, 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.)

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.		

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. INDIVIDUAL ASSETS (H)									
2. WELLS FARGO (cash)	A	Interest	K	T					
3. ACCOUNT #1 (H)									
4. MORGAN STANLEY PRIVATE BANK (cash)	A	Interest	L	T					
5. MSBNA PREFERRED SAVINGS- QC (cash) (X)	A	Interest	N	T					
6. FEDERATED US TRSY CSH RES INST (UTIXX)	A	Dividend			Sold	03/24/20	M		
7. ARCELORMITTAL CL A NY REGISTRY (MT)		None	K	T					
8. CISCO SYS INC (CSCO)	D	Dividend	M	T					
9. CITIGROUP INC NEW (C)	B	Dividend	L	T					
10. CORTEVA INC (CTVA)	A	Dividend	K	T					
11. DISCOVER FINCL SVCS (DFS)	B	Dividend	L	T					
12. DOW INC (DOW)	B	Dividend	K	T					
13. DUPONT DE NEMOURS INC (DD) (X)	A	Dividend	K	T					
14. FACEBOOK INC CL-A (FB)		None	M	T					
15. HOME DEPOT INC (HD)	C	Dividend	M	T					
16. INTEL CORP (INTC)	C	Dividend	M	T					
17. MERCK & CO INC NEW COM (MRK)	C	Dividend	M	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

E =\$15,001 - \$50,000

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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. PFIZER INC (PFE)	C	Dividend	M	T					
19. STARBUCKS CORP WASHINGTON (SBUX)	C	Dividend	M	T					
20. VIATRIS INC (VTRS)	A	Dividend	J	T					
21. CHESAPEAKE ENERGY CORP (CHK)		None			Sold	06/18/20	K		
22. ESC SEVENTY SEVEN (SESEZ) (Y)									
23. ACCOUNT #2 (H)									
24. MORGAN STANLEY PRIVATE BANK (cash)	A	Interest	K	T					
25. FACEBOOK INC CL-A (FB)		None	L	T					
26. FREEPORT-MCMORAN CL-B (FCX)	A	Dividend	K	T					
27. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	K	T					
28. ISHARES MSCI EMERGING MKTS ETF (EEM)	A	Dividend	L	T					
29. WISDOM TREE INTL LARGE CAP (DOL)	B	Dividend	K	T					
30. ACCOUNT #3 (H)									
31. MORGAN STANLEY PRIVATE BANK (cash)	A	Interest	J	T					
32. CITIGROUP INC NEW (C)	A	Dividend	J	T					
33. CLEARWAY ENERGY INC CL A (CWEN'A)	C	Dividend	L	T					
34. CROWN CASTLE INTL CORP (CCI)	B	Dividend	K	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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35. DONNELLEY R R & SONS CO COM (RRD)	A	Dividend	J	T					
36. MORGAN STANLEY (MS)	B	Dividend	L	T					
37. VODAFONE GROUP PLC (VOD)	B	Dividend	K	T					
38. WILLIAMS CO INC (WMB)	B	Dividend	J	T					
39. ACCOUNT #4 (H)									
40. MORGAN STANLEY PRIVATE BANK (cash)	A	Interest	J	T					
41. MSBNA PREFERRED SAVINGS- QC (CASH) (X)	A	Interest	L	T					
42. FEDERATED US TRSY CSH RES INST (UTIXX) (Y)									
43. APPLE INC (AAPL)	C	Dividend	O	T					
44. GENERAL ELECTRIC CO (GE)	A	Dividend	L	T					
45. WABTEC CORP (WAB)	A	Dividend	J	T					
46. ACCOUNT #5 (H)									
47. MORGAN STANLEY PRIVATE BANK (cash)	A	Interest	K	T					
48. MSBNA PREFERRED SAVINGS- QC (cash) (X)	A	Interest	K	T					
49. AT&T INC (T)	C	Dividend	L	T					
50. BED BATH & BEYOND INC (BBBY)	A	Dividend	L	T	Buy	02/19/20	K		
51. MANITEX INTL INC COM (MNTX)		None	K	T					

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52. NCR CORPORATION (NCR) (Y)									
53. ROYAL DUTCH SHELL PLC (RDS'A)	A	Dividend	K	T					
54. TERADATA CORP (TDC) (Y)									
55. USA TECHNOLOGIES INC (USAT)		None	K	T	Sold (part)	01/31/20	K	D	
56. VENTAS INC (VTR)	B	Dividend	K	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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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Washington, D.C. 20544