

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) Goldberg, Mitchell S.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 05/29/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Room 7614, 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.		
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. 2/03	Pennsylvania Employee Retirement System
2. 2013	Drexel Law School (Teaching appointment September, 2013)
3. 2013	Temple Law School (Teaching appointment January, 2013)

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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. 2013	Drexel Law School - Payment for teaching	\$7,500.00
2. 2013	Pennsylvania Employee Retirement System	\$13,818.00
3. 2013	Temple Law School - Payment for teaching	\$5,196.00
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	Heartsine Technologies - salary
2. 2013	Independent Yoga Instructor
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. U.S. Sentencing Economic Crime Symposium	9/18/13	New York, New York	Symposium Speaker	Transportation
2. NYIPLA Seminar	1/17/13	New York, New York	NYIPLA Seminar - Speaker	Transportation
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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) 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. Trust - 1/3 Interest - property located in Stewart, FL	B	Rent	M	W					
2. American Fund #1 - 529 - age or risk based - no control	A	Interest	J	T					
3. American Fund #2 - 529 - age or risk based - no control	A	Dividend	J	T					
4. Morgan Stanley Smith Barney #1 - Common stocks & options:									
5. Apple Inc	A	Dividend	K	T	Buy	2/1/13	K		See Part VIII
6. AT&T Inc	A	Dividend	K	T	Buy	12/17/13	K		See Part VIII
7. Baxter Intl Inc	A	Dividend	K	T					
8. Cardinal Health Inc	A	Dividend	K	T					
9. Bristol Myers Squibb Co.	A	Dividend	J	T					
10. HCP Inc.	B	Dividend	K	T					
11. Kimberly Clark Corp.	A	Dividend	K	T					
12. Metlife Inc.	A	Dividend	K	T					
13. Microsoft Corp.	A	Dividend	K	T					
14. Pepsico Inc.	A	Dividend	K	T					
15. Sysco Inc.	A	Dividend	K	T					
16. E I Du Pont De Nemours & Co	A	Dividend	K	T					
17. Energy Transfer Partners L.P Unit L.P Int	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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18. Hewlett Packard Co		None			Sold	1/11/13	J	A	
19. Morgan Stanley Smith Barney Corporate Bonds:									
20. General Electric Cap Corp.	A	Interest	K	T					
21. Berkshire Hathaway Fin. Corp.	A	Interest	K	T					
22. Pepsico Inc.	B	Interest	K	T					
23. Potash Corp.	A	Interest	K	T	Buy	9/19/13	K		See Part VIII
24. Morgan Stanley Smith Barney Certificates of Deposit:									
25. Ally Bank-UT (Formerly GMAC Bank) #1	A	Interest	K	T					
26. Ally Bank-UT (Formerly GMAC Bank) #3	A	Interest			Matured	4/16/13	K	A	
27. ST BK India NY CD 20000	A	Interest	K	T					
28. Ally Bank - UT #4 (Formerly Federal Home Loan Mortgage Corp.	A	Interest			Matured	7/9/13	K	A	
29. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
30. Citibank	A	Interest	J	T					
31. Powershares QQQ TR Ser 1	A	Dividend	J	T					
32. Exxon Mobil Corp	A	Dividend	J	T					
33. HCP Incorporated	A	Dividend	J	T	Buy	7/15/13	K		See Part VIII
34. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Dividend	J	T					

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Waste Mgmt Inc Del	A	Dividend	J	T					
36. Williams Co.	B	Dividend	K	T	Buy	7/15/13	J		See Part VIII
37. Morgan Stanley Smith Barney #3 - common stock									
38. Tyco Intl Ltd Chf	A	Dividend	J	T					
39. The ADT Corp. com	A	Dividend	J	T					
40. Baxter Intl Inc	A	Dividend	J	T					
41. Pentair Ltd.	A	Dividend	J	T					
42. Pepsico Inc	A	Dividend	K	T					
43. Waste Mgmt Inc Del	A	Dividend	J	T					
44. Willaims Co., Inc.	A	Dividend	J	T	Buy	6/26/13	J		See Part VIII
45. Oppenheimer Fund - Retirement IRA		None	K	T					
46. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					
47. Savings & Checking Accounts:									
48. ING Direct Savings Account (X)	A	Interest	K	T					
49. TD Bank Checking Account (X)		None	J	T					

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

Part VII, line 5 - Acquired as a result of the sale of line 18.

Part VII, lines 33 and 36 - Acquired as a result of the maturity of line 28.

Part VII, lines 6, 23 and 44 - Acquired as a result of the maturity of line 26.

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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/ Mitchell S. 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
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