

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) Pappert, Gerald J.	2. Court or Organization U.S. District Court, Eastern District of Pennsylvania	3. Date of Report 03/16/2021
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 01/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. Courthouse 601 Market Street, Room 5614 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. General Partner	Marza, L.P.
2. Trustee	Trust No 1
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2001	Pennsylvania State Employee's Retirement System Defined Benefit Pension Plan
2.	
3.	

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

03/16/2021

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. 2020	Pennsylvania State Retirement Benefits	\$8,451.72
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.				

Name of Person Reporting	Date of Report
Pappert, Gerald J.	03/16/2021

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. WAUTOSA WIS GO PROM NTS SER	B	Interest			Redeemed	12/01/20	L		
2. APPLE INC NOTE CALL MAKE WHOLE	A	Interest			Redeemed	05/02/20	K		
3. BOONE CNTY KY SCH DIST FIN CORP SCH	C	Interest			Sold	12/16/20	M	A	
4. CENTRAL GREENE PA SCH DIST GO BDS	B	Interest			Sold	12/16/20	M	B	
5. GOLDMAN SACHS BK USA NY CD	A	Interest	K	T					
6. JACKSON CNTY MO REORG SCH DIST NO 01	A	Interest			Redeemed	03/02/20	M		
7. MORRIS PLAINS NJ SCH DIST	C	Interest			Sold	12/17/20	M	C	
8. MOUNT LEBANON PA GO BDS SER	C	Interest	M	T					
9. ORACLE CORP BOND CALL MAKE WHOLE	A	Interest	K	T					
10. PARK CITY KANS GO REF BDS SER	B	Interest	M	T					
11. PFIZER INC NOTE CALL MAKE WHOLE	A	Interest	K	T					
12. TOYOTA FINL SVGS BK HEND NV	A	Interest			Redeemed	7/27/20	K		
13. WENTZVILLE-IV DIST MO LEASE	B	Interest			Redeemed	04/01/20	L		
14. AMERICAN EUROPACIFIC GROWTH CLASS F2	B	Dividend	N	T					
15. CALAMOS MARKET NEUTRAL INCOME CL 1	B	Dividend	L	T	Buy (add'l)	02/07/20	J		
16.					Buy (add'l)	03/10/20	J		
17.					Sold (part)	05/12/20	J		

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

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				
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	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)
18.					Sold (part)	12/17/20	M	D	
19. ISHARES TR JP MOR EM MK EFT	D	Dividend			Buy (add'l)	02/07/20	J		
20.					Sold (part)	03/10/20	J		
21.					Sold (part)	03/12/20	J		
22.					Sold (part)	03/16/20	K		
23.					Sold	07/06/20	M		
24. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	K	T					
25. FIDELITY TREASURY MONEY MARKET FUND	A	Dividend	M	T					
26. ISHARE INC CORE MSCI EMERGING MKTS ETF	D	Dividend	O	T	Buy (add'l)	03/02/20	J		
27.					Sold (part)	07/27/20	J	B	
28.					Sold (part)	07/29/20	K	C	
29.					Sold (part)	09/01/20	J	B	
30. ISHARES CORE S&P MID-CAP EFT	D	Dividend	O	T	Buy (add'l)	03/02/20	J		
31.					Buy (add'l)	03/25/20	J		
32.					Sold (part)	07/29/20	J	C	
33. ISHARES CORE S&P SMALL-CAP ETF	B	Dividend	M	T					
34. ISHARES CORE S&P 500 ETF	F	Dividend	P1	T	Buy (add'l)	03/10/20	J		

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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☐ NONE (No reportable income, assets, or transactions.)

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	(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)
35.					Buy (add'l)	03/24/20	J		
36.					Sold (part)	09/08/20	J	D	
37. ISHARES RUSSELL 2000 ETF	C	Dividend	N	T	Sold (part)	07/30/20	K	D	
38.					Sold (part)	08/17/20	J	B	
39.					Sold (part)	09/01/20	J	D	
40.					Sold (part)	09/28/20	J	D	
41. ISHARES TR CORE MSCI TOTAL		None			Sold	03/20/20	M		
42. ISHARES US TECHNOLOGY ETF	A	Dividend	M	T					
43. MERGER FUND		None			Merged (with line 95)	04/13/20	J		
44. INDEXIQ ETF IQ ARB MERGER ARBITRA ETF		None			Sold	04/23/20	N	D	
45. VANGUARD INDEX FDS VANGUARD TOTAL STK MKT ETF	B	Dividend	M	T					
46. WELLS FARGO PREMIER LARGE CO GRWTH ADMIN		None			Closed	11/11/20	J		
47. AMERICAN WASHINGTON MUTUAL INVESTORS F2	B	Dividend			Sold (part)	07/07/20	K	C	
48.					Sold (part)	07/27/20	L	D	
49.					Sold	07/29/20	L	D	
50. EXXON MOBIL CORP (X)	B	Dividend			Closed	11/11/20	K		
51. FLBEACH, OC, LLC		None	K	U					

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	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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 NONE (No reportable income, assets, or transactions.)

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52. ALTOONA NPRE, LP		None	L	U					
53. PACIFIC LIFE FIXED ACCOUNT	C	Interest	K	T					
54. PACIFIC LIFE 1-YEAR HIGH PAR INDEX (S & P 500 INDEX)	E	Interest	M	T					
55. 1 YEAR INTERNATIONAL INDEX FUND EURO STOCK 500	A	Interest	L	T					
56. URBAN STORAGE FUND, LP		None	M	U					
57. VILLAGE OF CANTERBURY, LP		None	M	U					
58. HONEY FARMS MANAGEMENT, LLC	D	Interest	L	U					
59. ISHARES CORE MSCI EAFE ETF	D	Dividend	O	T	Buy (add'l)	03/10/20	J		
60.					Buy (add'l)	03/20/20	M		
61.					Sold (part)	04/24/20	K		
62. FIDELITY INTERM MUNI INCOME	C	Dividend			Buy (add'l)	07/06/20	N		
63.	A	Distribution			Sold (part)	03/12/20	L	B	
64.					Sold (part)	03/24/20	M		
65.					Sold (part)	09/22/20	M	B	
66.					Sold	12/17/20	L	B	
67. HEMPFIELD PA AREA SCHOOL DISTRICT 3/15/2024	C	Interest	M	T					
68. HURST TEX TAX & WATER & SEWER 08/15/22	C	Interest			Sold	12/17/20	M	C	

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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	(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)
69. MISSOULA COUNTY MNT HIGH 07/01/2024	B	Interest	M	T					
70. WESTWOOD HEIGHTS MICH SCHOOL 05/01/2021	C	Interest			Sold	12/17/20	M	A	
71. FIDELITY INFLAT-PROT BOND INDEX FUND	A	Dividend			Buy (add'l)	02/07/20	J		
72.					Sold (part)	03/10/20	J	A	
73.					Sold (part)	03/12/20	K	B	
74.					Sold (part)	03/16/20	K	A	
75.					Sold (part)	03/24/20	J	A	
76.					Sold (part)	06/23/20	K	C	
77.					Sold	07/06/20	M	D	
78. MICROSOFT CORP NOTE 11/03/22	A	Interest	K	T					
79. STATE BK INDIA NEW YORK 3/06/2023	A	Interest	K	T					
80. FIDELITY TOTAL MARKET INDEX FUND	A	Dividend	J	T	Buy (add'l)	03/26/20	J		
81.					Buy (add'l)	04/13/20	J		
82. FIDELITY TOTAL BOND CI Z	A	Dividend	K	T	Sold (part)	03/12/20	K	B	
83.	A	Distribution			Sold (part)	03/17/20	J		
84.					Buy (add'l)	07/02/20	K		
85.					Sold (part)	09/30/20	J	A	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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P3 =\$25,000,001 - \$50,000,000

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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

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P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

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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.)

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86. FIDELITY 500 INDEX FUND	A	Dividend	K	T					
87. GARDENS OF GERMANTOWN	C	Dividend	M	U					
88. FIDELITY LOW VOLATILITY FACTOR EFT	B	Dividend	L	T	Sold (part)	06/09/20	K	C	
89. TORTOISE MLP & PIPELINE	A	Dividend	J	T					
90. FAIRBANKS OHIO LOC SCH DIST	B	Interest	M	T					
91. GREENWOOD ARK SCHOO DIST	B	Interest	M	T					
92. TRENDTON TEX INDPT SCH DIST	C	Interest	M	T					
93. ALLY BK MIDVALE UTAH CD	A	Interest	K	T					
94. COMENITY CAP BK UTAH CD	A	Interest	K	T					
95. THE MERGER FUND CLASS I	C	Interest	N	T	Buy (add'l)	05/12/20	K		
96.	E	Distribution			Buy (add'l)	05/18/20	N		
97. JP MORGAN HEDGED EQUITY CLASS I	A	Dividend	K	T	Buy	05/12/20	K		
98.					Buy (add'l)	10/06/20	L		
99.					Sold (part)	12/17/20	L	C	
100. ISHARES TRUST 1-3 YEARS TREASURY BOND EFT	A	Dividend			Buy	04/23/20	N		
101.					Sold	05/11/20	N		
102. ISHARES EDGE MSCI USA QUALITY FACTOR EFT	A	Dividend	L	T	Buy	04/13/20	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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103.					Buy (add'l)	06/09/20	K		
104. ISHARES EDGE MSCI INTERNATIONAL QF ETF	A	Dividend	L	T	Buy	03/25/20	J		
105.					Buy (add'l)	04/24/20	K		
106. ISHARES CORE 1-5 YEAR USD BOND ETF		None			Buy	03/03/20	L		
107.					Buy (add'l)	03/10/20	J		
108.					Sold	03/16/20	L		
109. FOUNDATION PREMIUM INCOME FUND LP		None	O	T	Buy	12/23/20	O		
110. BLACKROCK SYSTEMATIC MULTI- STRATINSTL	A	Dividend	L	T	Buy	09/30/20	K		
111.					Buy (add'l)	10/06/20	L		
112. BAIRD AGGREGATE BOND INV	A	Dividend	K	T	Buy	07/28/20	K		
113.	A	Distribution							
114. BOYD WATTERSON STATE GOVERNMENT FUND, LP	C	Dividend	O	U	Buy	07/01/20	M		
115.					Buy (add'l)	10/01/20	M		
116. SAFSTOR		None	M	U	Buy	06/05/20	M		
117. 2 YEAR INDEX PACLIFE		None	K	T	Buy	09/15/20	K		
118.									
119.									

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pappert, Gerald J.

Date of Report

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

Trust No. 1 listed on line 2 of Part I of this Report is an unfunded trust.

Line 51 - FL Beach, OC LLC was purchased 08/01/2014 - \$50,000

Line 52 - Altoona NPPE, LP was purchased 10/28/2015 - \$100,000

Line 54 - Fixed Account part of PacLife policy.

Life 55 - Index Fund part of PacLife policy.

Line 56 - Urban Storage Fund, LP was purchased 07/03/2013 \$100,000 & Additional purchase on 04/04/2014 \$100,000

Line 57 - Village of Canterbury, LP was purchased 04/12/2012 - \$150,000

Line 58 - Honey Farms Management LLC was purchased on 11/04/2016 \$100,000

Line 87 - Gardens of Germantown was purchased 06/18/2019 \$200,000

Line 43 was merged into line 95. (line 43 would not allow me to enter a line number for the merge)

Line 46 transferred out of a custodial account [REDACTED].

Line 50 transferred out of a custodial account [REDACTED].

Line 114 BOYD Watterson purchased 07/01/20 - \$250,000 & 10/01/20 - \$250,000

Line 116 SAFStor was purchased 06/05/20 - \$200,000

Line 117 2 Year Indexed part of PacLife policy.

Lines 63,83,96,113 Income coded as distributions are Capital Gains

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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/ Gerald J. Pappert**

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