

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Brann, Matthew W.	2. Court or Organization District Court-Middle District, Pennsylvania	3. Date of Report 05/08/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Courthouse and Federal Building 240 West Third Street, Suite 401 Williamsport, Pennsylvania 17701		
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.	Member	Harewood Group, LLC
2.	President	Matthew W. Brann, PC
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.	
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.	
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. College of William and Mary Law School	February 14-16, 2014	Williamsburg, VA	Spong Moot Court Tournament	Hotel room lodging for two nights, dinner and lunch.
2. New York Intellectual Property Law Association	March 28-29, 2014	New York, NY	Patent Bar dinner	Hotel room lodging for one night, dinner, parking, mileage and toll reimbursement.
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) 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. Harewood Group, LLC	E	Distribution	L	U					
2. Brokerage Account #1									
3. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	L	T					
4. -Alpine Total Dynamic Dividend Fund	A	Dividend	J	T					
5. -Annaly Capital Management Common Stock	B	Dividend	K	T					
6. -Ferrellgas Partners, LP Common Stock	C	Distribution	K	T					
7. -First Trust Energy Income and Growth Fund	C	Dividend	L	T					
8. -KKR & Co., LP (formerly KKR Financial Hldgs LLC) Common Stock	A	Dividend	K	T					
9. -New York & Co., Inc. Common Stock			J	T					
10. -Pfizer Incorporated Common Stock	B	Dividend	K	T	Buy	01/16/14	K		
11. -Pimco Income Strategy Fund II	A	Dividend	J	T					
12. -Ares Capital Corp. Common Stock	B	Dividend	K	T					
13. -Spectra Energy Corp. Common Stock	A	Dividend	J	T					
14. -Tupperware Brands Corp. Common Stock	A	Dividend	J	T					
15. -Vanguard Natural Resources, LLC Common Stock	B	Dividend	K	T	Buy	01/16/14	K		
16. -Verizon Communications, Inc. Common Stock	B	Dividend	K	T					
17. -Wells Fargo & Co. Common Stock	A	Dividend	J	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000 (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 S ~Assessment W ~Estimated	T ~Cash Market

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18. -Xerox Corp. Common Stock	A	Dividend	K	T					
19. Illinois Tool Works, Inc. Common Stock	A	Dividend	J	T					
20. Delaware Foundation Moderate Allocation Fund A	C	Dividend	M	T					
21. Gabelli Asset Fund	A	Dividend	L	T					
22. Neuberger Berman Guardian Fund Investor Class	A	Dividend	L	T					
23. Wells Fargo Advantage Ultra Short-Term Municipal Income Fund	A	Dividend	J	T					
24. Roth IRA #1									
25. -Hartford Capital Appreciation Fund Class A	D	Int./Div.	K	T					
26. SEP-IRA									
27. -Vanguard Dividend Growth Fund	B	Int./Div.	L	T					
28. -Vanguard REIT Index Fund	A	Int./Div.	K	T					
29. -Vanguard Mid Cap	A	Int./Div.	K	T	Buy	11/14/14	K		
30. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	J	T					
31. American Funds: The Investment Co. of America A (IRA)	C	Dividend	L	T					
32. 529A #1									
33. -American Funds: The Investment Co. of America	D	Dividend	M	T					
34. -American Funds: The Growth Fund of America	C	Dividend	K	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 \$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. 529A #2									
36. -American Funds: The Investment Co. of America	D	Dividend	M	T					
37. Chemung Canal Trust Co. Accounts	A	Interest			Closed	10/17/14	J		
38. Citizen & Northern Bank Accounts	A	Interest	J	T	Open	04/16/14	J		
39. Perdido Housing Corp. Municipal Bond (Florida)	A	Interest	J	T					
40. 1/3 interest in real estate, Bradford County, Pennsylvania		None	M	Q					
41. 1/3 interst in mineral estate, Bradford County, Pennsylvania (X)	E	Royalty		V					

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

Part I, Page 1, Line 2--- Matthew W. Brann, PC was a professional corporation formed under the laws of the Commonwealth of Pennsylvania and served as a partner in the law firm of Brann, Williams, Caldwell & Sheetz during the later part of the period in which I was affiliated with this firm. I retired from Brann, Williams, Caldwell & Sheetz on January 16, 2013 and entered on duty as a United States District Judge on January 17, 2013. This professional corporation continued in existence during a portion of the year 2014 because final tax clearances had not yet been received from the Commonwealth of Pennsylvania, Department of Revenue. This professional corporation was dissolved according to Pennsylvania law on September 15, 2014.

Part VII, Page 1, Column 40---1/3 interest in real property, Bradford County, Pennsylvania was inadvertently omitted from the 2013 financial disclosure report.

Part VII, Page 1, Column 41---1/3 interest in mineral estate interest, Bradford County, Pennsylvania was not disclosed in the 2013 financial disclosure report in light of the fact that this interest did not have any particular value that year. It is listed in the current financial disclosure report because the mineral estate generated income during year 2014 in the form of a oil and gas lease renewal/extension payment (inaccurately listed as a "royalty" due to the descriptive limitations of the software). Additionally, in sections C(1) and (2) of this column, no gross value is listed because the gross value is unknown; no income has been received from this mineral estate aside from the renewal lease payment described in the prior sentence.

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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/ Matthew W. Brann**

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