

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 08/29/2013
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 01/01/2012 to 12/31/2012
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. 2012	Drexel Law School (Teaching appointment to start September, 2012)
3. 2012	Temple Law School (Teaching appointment to start January, 2012)

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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. 2012	Drexel Law School - Payment for teaching	\$7,500.00
2. 2012	Trust Distribution	\$750.00
3. 2012	Pennsylvania Employee Retirement System	\$13,818.00
4. 2012	Temple Law School - Payment for teaching	\$5,196.00

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. 2012	Heartsine Technologies - salary
2. 2012	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. American Bar Association	8/1/12 - 8/3/12	Chicago, Illinois	Annual Meeting - Speaker	Transportation, meals, hotel
2. PLI	2/17/12	New York, NY	NYIPLA Seminar - Speaker	Transportation, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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	K	T					
4. Morgan Stanley Smith Barney #1 - Common stocks & options:									
5. Baxter Intl Inc Ref: [REDACTED]	A	Dividend	K	T	Buy	1/19/12	K		
6. Cardinal Health Inc Ref: [REDACTED]	A	Dividend	K	T	Buy	6/20/12	K		
7. Bristol Myers Squibb Co.	A	Dividend	J	T					
8. HCP Inc.	A	Dividend	K	T					
9. Kimberly Clark Corp.	A	Dividend	K	T					
10. Metlife Inc.	A	Dividend	K	T					
11. Microsoft Corp.	A	Dividend	K	T					
12. Pepsico Inc.	A	Dividend	J	T					
13. Sysco Inc.	A	Dividend	J	T					
14. Wal-Mart Stores Inc.		None			Sold	5/23/12	K	A	
15. E I Du Pont De Nemours & Co	A	Dividend	K	T					
16. Energy Transfer Partners L.P Unit L.P Int	B	Dividend	K	T					
17. Hewlett Packard Co	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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. Morgan Stanley Smith Barney Corporate Bonds:									
19. General Electric Cap Corp.	B	Interest	K	T					
20. Berkshire Hathaway Fin. Corp.	B	Interest	K	T					
21. Pepsico Inc.	B	Interest	K	T					
22. Morgan Stanley Smith Barney Certificates of Deposit:									
23. Ally Bank-UT (Formerly GMAC Bank) #1	A	Interest	K	T					
24. Ally Bank-UT (Formerly GMAC Bank) #2	A	Interest			Matured	4/15/12	K	A	
25. Ally Bank-UT (Formerly GMAC Bank) #3	A	Interest	K	T					
26. ST BK India NY CD	A	Interest	K	T	Buy	4/17/12	K		See Part VIII
27. Ally Bank - UT #4 (Formerly Federal Home Loan Mortgage Corp.	A	Interest	K	T					
28. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
29. Citibank	A	Interest	J	T					
30. Powershares QQQ TR Ser 1	A	Dividend	J	T					
31. Exxon Mobil Corp	A	Dividend	J	T					
32. LMP Short-Term Bond Fund Class C	A	Dividend	J	T					See Part VIII
33. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Dividend	J	T					
34. Waste Mgmt Inc Del	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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)

35. Morgan Stanley Smith Barney #3 - common stock									
36. Tyco Intl Ltd Chf	A	Dividend	J	T					
37. The ADT Corp. com	A	Dividend	J	T	Buy	01/01/12	J		See Part VIII
38. Baxter Intl Inc	A	Dividend	J	T					
39. Pentair Ltd.	A	Dividend	J	T	Buy	01/01/12	J		See Part VIII
40. Pepsico Inc	A	Dividend	J	T					
41. Waste Mgmt Inc Del	A	Dividend	J	T					
42. Oppenheimer Fund - Retirement IRA		None	K	T					
43. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					
44. Savings & Checking Accounts:									
45. ING Direct Savings Account (X)	A	Interest	K	T					
46. TD Bank Checking Account (X)		None	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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

Part VII, line 26 - This item was opened as a result of the maturing of line 24.

Part VII, lines 37 and 39 were acquired on 9/6/11 and inadvertently omitted from the 2011 Report.

Part VII, lines 32 and 33 - Line 32 should not have been placed on the report, this asset (LMP Short-Term Bond Fund Class C) had a name change to Western Asset Short-Term Bond Fund which is listed in line 33.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Goldberg, Mitchell S.

Date of Report

08/29/2013

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544