

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 05/04/2017
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 01/01/2016 to 12/31/2016
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.		
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.)*

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.	New York Intellectual Property Law Association	April 1-2, 2016	New York, NY	Patent Bar dinner	Hotel room lodging for one night, dinner, parking, mileage and toll reimbursement.
2.	Centre County, PA Bar Association	June 16, 2016	Bellefonte, PA	Continuing Legal Education seminar as presenter	Lunch.
3.	Pennsylvania Bar Association-Young Lawyer's Division	July 27-28, 2016	State College, PA	Remarks at dinner on behalf of the District Court	Hotel room lodging for one night, dinner, and breakfast.
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	C	Distribution	L	U					
2. Brokerage Account #1									
3. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	M	T					
4. -Alpine Total Dynamic Dividend Fund	A	Dividend			Sold	11/29/16	J	A	
5. -Annaly Capital Management Common Stock	B	Dividend	J	T					
6. -Ferrellgas Partners, LP Common Stock	B	Distribution	J	T					
7. -First Trust Energy Income and Growth Fund	C	Dividend	L	T					
8. -KKR & Co., LP (formerly KKR Financial Hldgs LLC) Common Stock	B	Dividend	K	T					
9. -New York & Co., Inc. Common Stock			J	T					
10. -Pfizer Incorporated Common Stock	B	Dividend	K	T					
11. -Pimco Income Strategy Fund II	A	Dividend			Sold	11/29/16	J	A	
12. -Ares Capital Corp. Common Stock	C	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	A	Dividend	J	T					
16. -Verizon Communications, Inc. Common Stock	B	Dividend	L	T					
17. -Wells Fargo & Co. Common Stock	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	
	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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☐ 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 I (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. -Xerox Corp. Common Stock	A	Dividend	K	T					
19. Illinois Tool Works, Inc. Common Stock	A	Dividend	K	T					
20. Delaware Foundation Moderate Allocation Fund A	C	Dividend	M	T					
21. Gabelli Asset Fund	A	Dividend	M	T					
22. Neuberger Berman Guardian Fund Investor Class	A	Dividend	L	T					
23. Roth IRA #1									
24. -Hartford Capital Appreciation Fund Class A	A	Int./Div.	K	T					
25. SEP-IRA									
26. -Vanguard Dividend Growth Fund	A	Int./Div.	L	T					
27. -Vanguard REIT Index Fund	A	Int./Div.	K	T					
28. -Vanguard Mid Cap	A	Int./Div.	K	T					
29. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	J	T					
30. American Funds: The Investment Co. of America A (IRA)	B	Dividend	L	T					
31. 529A #1									
32. -American Funds: The Investment Co. of America	D	Dividend	M	T					
33. -American Funds: The Growth Fund of America	C	Dividend	L	T					
34. 529A #2									

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. -American Funds: The Investment Co. of America	D	Dividend	M	T					
36. Citizen & Northern Bank Accounts	A	Interest	J	T					
37. Perdido Housing Corp. Municipal Bond (Florida)	A	Interest	J	T					
38. 1/3 interest in real estate, Bradford County, Pennsylvania		None	L	Q					
39. 1/3 interest in mineral estate, Bradford County, Pennsylvania		None	L	Q					

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

Part VII, Page 1, Column 38--This real property was assigned value method code "Q", noting an appraisal dated November 1, 2010.

Part VII, Page 1, Column 39--This mineral estate was assigned value method code "Q", noting an appraisal dated November 1, 2010.

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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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