

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 10/22/2018
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 01/01/2017 to 12/31/2017
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.	
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. 2017	Pennsylvania Employee Retirement System	\$13,818.00
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. 2017	Stryker Corp.
2. 2017	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. Bucks County Bench Bar Conference	October 5 - 7, 2017	Bedford, Pennsylvania	Conference attendee	Lodging and meals
2. University of Texas Law	November 1 - 3, 2017	Austin, Texas	Speaker	Lodging and travel
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Wells Fargo	Rental Property #1, Ocean County, New Jersey	O
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	N	W					
2. Rental Property #1, Ocean County, New Jersey	A	Rent	O	W	Buy	09/22/17	O		Private transaction
3. Morgan Stanley Private Bank NA	A	Interest	K	T					
4. Morgan Stanley Smith Barney #1 - Common stocks & options:									
5. Apple Inc	A	Dividend	K	T					
6. AT&T Inc	B	Dividend	K	T					
7. Brighthouse Finl	A	Dividend	J	T	Spinoff (from line 20)	07/19/17	J		
8. Bristol Myers Squibb Co.	A	Dividend	J	T					
9. Cardinal Health Inc Ref: 17200000	A	Dividend	K	T					
10. Chemours Co Com	A	Dividend	J	T					
11. Crown Castle Intl Corp	A	Dividend	K	T	Buy	07/19/17	K		
12. Discover Fincl Svcs	A	Dividend	K	T	Sold (part)	1/13/17	K		
13. H & R Block	A	Dividend	J	T					
14. Halyard Health Inc.	A	Dividend	J	T					
15. Harley Davidson Inc.	A	Dividend	J	T					
16. HCP Inc.	A	Dividend	J	T					
17. Kimberly Clark Corp.	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 = \$250,000,001 - \$500,000,000	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	

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18. Kinder Morgan Incorp.	A	Dividend	J	T					
19. Macy's Inc.	A	Dividend	J	T					
20. Metlife Inc.	A	Dividend	K	T					
21. Pepsico Inc.	A	Dividend	J	T					
22. Quality Care Properties	A	Dividend	J	T					
23. Sysco Corp	A	Dividend	J	T					
24. Walt Disney Co. Hldg. Co.	A	Dividend	J	T					
25. Morgan Stanley Smith Barney Corporate Bonds:									
26. Capital One Financial Co. Bond	B	Interest	K	T					
27. Pepsico Inc.	B	Interest	K	T					
28. Potash Corp. Saskatchewan	B	Interest	K	T					
29. Goldman Sachs Group Inc.	A	Interest	K	T					
30. Morgan Stanley Smith Barney Certificates of Deposit:									
31. ST BK India NY CD 20000	A	Interest			Redeemed	4/27/17	K		
32. Amex Centurion Salt Lake City UT CD	A	Interest	K	T					
33. Synchrony DRAPER UT CD	A	Interest	K	T	Buy	5/19/17	K		
34. WELLS FARGO BK N A CD	A	Interest	K	T	Buy	2/28/17	K		

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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	
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35. WELLS FARGO BK N A FID	A	Interest	K	T	Buy	2/3/17	K		
36. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
37. Exxon Mobil Corp	A	Dividend	J	T					
38. HCP Incorporated	A	Dividend			Sold	06/13/17	J		
39. International Paper Co.	A	Dividend	K	T					
40. Quality Care Properties	A	Dividend	J	T					
41. United Technologies	A	Dividend	K	T					
42. Western Asset Short-Term Bond Fund f/k/a LMP Short-Term Bond	A	Interest	J	T					
43. Pennsylvania St. Genl. Oblig	B	Interest	K	T					
44. Morgan Stanley Smith Barney #3 - common stock									
45. Baxter Intl Inc	A	Dividend	J	T					
46. Pentair PLC.	A	Dividend	J	T					
47. Pepsico Inc	A	Dividend	K	T					
48. Shire PLC - ADR	A	Dividend	J	T					
49. Williams Co., Inc.	A	Dividend	J	T					
50. Yum! Brands Inc Bond	A	Interest	K	T					
51. Goldman Sachs New York NY CD	A	Interest	K	T					

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52. Oppenheimer Fund - Retirement IRA	A	Dividend	K	T					
53. Sirius XM Radio, Inc. - Stock	A	Dividend	J	T					
54. Stryker Corp 401K Savings and Retirement Plan (H)									See Part VIII.
55. - Vanguard Target Retire 2025	A	Dividend	J	T					
56. - Stryker Corp Stock Fund	A	Dividend	J	T					
57. Savings & Checking Accounts:									
58. Capital One 360 Savings Account	A	Interest	J	T					
59. TD Bank Checking Account		None	J	T					

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

. Part VII, Line 54. This is my spouse's 401k that was inadvertantly omitted from my prior reports.

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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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