

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) Bartle III, Harvey	2. Court or Organization U.S. District Court, E.D. Pa.	3. Date of Report 05/01/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior Status)	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 16614 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. Director	
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.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

Texas Teachers Retirement System - Pension

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

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.)*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.

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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. Eastman Kodak (Com.)		None	J	T					
2. IBM (Com.)	B	Dividend	L	T					
3. Xerox (Com.)	A	Dividend	J	T					
4. Johnson & Johnson	B	Dividend	M	T					
5. Delphi Automotive Systems (Com.)		None	J	T					
6. TD Bank	A	Interest	L	T					
7. Vanguard-Windsor II (IRA rollover)	D	Distribution	M	T					
8. Merrill Lynch (Mercury U.S. Large Cap Fund Class B)		None	J	T					
9. TIAA/CREF (Retirement Fund)	E	Int./Div.	O	T					
10. Vanguard (Wellington Fund Admr)	D	Dividend	M	T					
11. Vanguard (Wellington Fund Admr)	D	Dividend	O	T					
12. Vanguard (Pa. Long Term Tax Exempt Fund)	A	Interest	K	T					
13. AmCap Funds Inc. Class A	C	Dividend			Sold	11/03/16	M	E	
14. American Mut. Fd. Inc. A	D	Dividend	M	T					
15. Capital World Growth & Inc. Fd. Class A	D	Dividend			Sold	11/03/16	K	E	
16. General Electric	C	Dividend	M	T					
17. Fundamental Invs. Inc. Class A	D	Dividend			Sold	11/03/16	J	E	

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 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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				
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18. Growth Fund America Class A	A	Dividend	M	T					
19. Philadelphia Contributionship	A	Dividend	J	T					
20. Burrell PA Sch Dist Bonds	A	Interest			Redeemed	01/15/16	J		
21. Pa. St. Pub. School Bldg. Authority Bond	A	Interest			Redeemed	12/01/16	J		
22. State Pub. School Bldg. Authority Bond	A	Interest	K	T					
23. Central Dauphin Pa. School Dist. Bond	A	Interest			Redeemed	11/15/16	J		
24. Pa. St. Higher Ed. Facility Authority Bond	A	Interest	K	T					
25. Cumberland County Pa. Mun. Authority Bond	A	Interest	J	T					
26. Upper Merion Twp. Bond	A	Interest	J	T					
27. Pa. St. 1st Series Bond	A	Interest	K	T					
28. Pa. St. Higher EFA Rev Temple U. Bond	A	Interest	J	T					
29. Allegheny County, PA RFDG Bond	A	Interest			Sold	03/29/16	K	A	
30. Pa. St. Turnpike Bond	A	Interest	J	T					
31. Cranberry Twp. Pa Bond	A	Interest	J	T					
32. Chester County Pa School Auth. Bond	A	Interest	J	T					
33. Monroeville Pa Fin. Authority Bond	A	Interest	J	T					
34. Moon Area School Dist. Pa Bond	A	Interest	J	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	
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35. State Pub. School Bldg. Auth. Pa Bond	A	Interest	J	T					
36. Dauphin County Pa G/O Bond	A	Interest	J	T					
37. Commonwealth Fing. Authority Pa Bond	A	Interest	J	T					
38. Pa Economic Dev. Fing. Authority Bond	A	Interest	J	T					
39. Troy, Pa Area School Dist. Bradford County Bond	A	Interest	J	T					
40. Blackrock Long Term Mun. Advisor Trust	A	Interest	K	T	Buy	12/23/16	K		
41. Dreyfus Mun. Bond Infrastructure Fund	A	Interest	K	T	Buy	12/23/16	K		
42. Hamburg PA Area School Dist. (H)	A	Interest			Buy	3/31/16	J		
43. Hamburg PA Area School District					Sold	09/07/16	J	A	
44. Indiana State Fin Auth Wastewater Util Rev	A	Interest	J	T	Buy	10/05/16	J		
45. Invesco Trust Invst Grade Mun	A	Interest	K	T	Buy	12/23/16	K		
46. Invesco Mun Trust (H)	A	Interest			Buy	11/03/16	K		
47. Invesco Mun Trust					Sold	12/23/16	K		
48. Putnam Mun Opportunities Trust	A	Interest	K	T	Buy	12/23/16	K		
49. Montgomery Cnty, PA IDA Rev (H)	A	Interest			Buy	03/30/16	J		
50. Montgomery Cnty, PA IDA Rev					Sold	09/29/16	J		
51. MSF Municipal Income Trust (H)	A	Dividend			Buy	11/03/16	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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52. MSF Municipal Income Trust					Sold	12/23/16	K		
53. Nuveen Enhanced Mun Credit Opportunities Fund (H)	A	Dividend			Buy	11/03/16	K		
54. Nuveen Enhanced Mun Credit Opportunities Fund					Sold	12/23/16	K		
55. Nuveen Enhanced AMT-Free Mun Credit Opportunities Fund (H)	A	Dividend			Buy	11/03/16	K		
56. Nuveen Enhanced AMT-Free Mun Credit Opportunities Fund					Sold	12/23/16	K		
57. Pa. State Turnpike Rev. Series E	A	Interest	J	T	Buy	02/17/16	J		
58. Trenton NJ Parking Authority	A	Interest	J	T	Buy	09/09/16	J		

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

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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/ **Harvey Bartle III**

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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