

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) Brann, Matthew W.	2. Court or Organization District Court-Middle District, Pennsylvania	3. Date of Report 11/29/2018
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 01/01/2017 to 12/31/2017
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	March 31-April 1, 2017	New York, NY	Patent Bar dinner	Hotel room lodging for one night, dinner, breakfast, parking, mileage and toll reimbursement.
2. Pennsylvania Bar Institute	October 30-31, 2017	Lancaster, PA	Continuing Legal Education seminar as presenter	Hotel room lodging for one night, dinner, breakfast and mileage 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.)*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. Harewood Group, LLC	A	Distribution	L	U					
2. Brokerage Account #1									
3. -Charles Schwab & Co., Inc. Money Market Account	A	Interest	L	T					
4. -Annaly Capital Management Common Stock	B	Dividend	J	T					
5. -Ferrellgas Partners, LP Common Stock	A	Distribution	J	T					
6. -First Trust Energy Income and Growth Fund	C	Dividend	K	T	Sold (part)	02/03/17	K	E	
7. -KKR & Co., LP (formerly KKR Financial Hldgs LLC) Common Stock	A	Dividend	K	T					
8. -New York & Co., Inc. Common Stock		None	J	T					
9. -Pfizer Incorporated Common Stock	B	Dividend			Sold	12/22/17	K	D	
10. -Ares Capital Corp. Common Stock	C	Dividend	K	T					
11. -Spectra Energy Corp. Common Stock	A	Dividend	J	T					
12. -Tupperware Brands Corp. Common Stock	A	Dividend			Sold	02/03/17	J	B	
13. -Vanguard Natural Resources, LLC Common Stock		None	J	T					
14. -Verizon Communications, Inc. Common Stock	B	Dividend	L	T					
15. -Wells Fargo & Co. Common Stock	A	Dividend			Sold	12/22/17	J	A	
16. -Xerox Corp. Common Stock	A	Dividend	J	T					
17. -Enbridge, Inc. (merger with Spectra Energy completed 2/27/17).	A	Dividend			Sold	08/25/17	J	C	

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 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. -Conduent Incorporated (divestiture from Xerox Corp. on 1/3/17).		None	J	T					
19. -iShares Core S & P Small Cap ETF	A	Dividend	K	T	Buy	02/03/17	K		
20. -iShares Global Healthcare ETF	A	Dividend	J	T	Buy	12/22/17	J		
21. -iShares Gold ETF	A	Dividend	J	T	Buy	02/03/17	J		
22. -Schwab Fundamental International Small Company Index ETF	A	Dividend	J	T	Buy	12/22/17	J		
23. -Schwab Fundamental U.S. Small Company ETF	A	Dividend	J	T	Buy	12/22/17	J		
24. -Vanguard Consumer Staples ETF	A	Dividend	J	T	Buy	02/03/17	J		
25. -Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Buy	02/03/17	J		
26. -Vanguard FTSE Emerging Markets ETF	A	Dividend	K	T	Buy	02/03/17	J		
27.					Sold (part)	08/25/17	J	A	
28. -Vanguard Information Technology ETF	A	Dividend	K	T	Buy	02/03/17	J		
29. -Vanguard Mid Cap ETF	A	Dividend	K	T	Buy	12/22/17	K		
30. -Vanguard FTSE All World Ex U.S. Small Cap ETF	B	Dividend	K	T	Buy	02/03/17	K		
31. -Vanguard High Yield Tax Exempt Fund Admiral Shr	A	Dividend			Buy	02/03/17	K		
32.					Sold (part)	08/25/17	J	A	
33.					Sold (part)	12/22/17	K	A	
34. -Vanguard International High Dividend Yield Fund	A	Dividend			Buy	02/03/17	J		

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35.					Sold	08/25/17	J	A	
36. -WisdomTree Inter Hdq Qly Div Grt ETF	A	Dividend	K	T	Buy	08/25/17	K		
37. -WisdomTree Intl Small Cp Dividend ETF	A	Dividend	J	T	Buy	02/03/17	K		
38. -WisdomTree U.S. Small Cap Dividend Grw ETF	A	Dividend	K	T	Buy	02/03/17	K		
39. -WisdomTree Emerging Markets Small Cap Dividend ETF	A	Dividend	J	T	Buy	02/03/17	J		
40. -Deutsche Strategic High Yield Tax -Free Fund Class S	A	Int./Div.			Buy	02/03/17	J		
41.					Sold (part)	08/25/17	J	A	
42.					Sold (part)	12/22/17	J	A	
43. -USAA Tax Exempt Intermediate Term Fund	A	Dividend	K	T	Buy	12/22/17	K		
44. -Proshares MSCI EAFE Dividend GRWRS	A	Dividend			Buy	02/03/17	J		
45.					Sold	08/25/17	J	B	
46. Illinois Tool Works, Inc. Common Stock	A	Dividend	K	T					
47. (Macquarie)Delaware Foundation Moderate Allocation Fund A	C	Dividend	M	T					
48. Gabelli Asset Fund	A	Dividend	M	T					
49. Neuberger Berman Guardian Fund Investor Class	B	Dividend	L	T					
50. Roth IRA #1									
51. -Hartford Capital Appreciation Fund Class A	A	Int./Div.			Sold	02/03/17	K	A	

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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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52. -Schwab Cash Reserves	A	Dividend	J	T	Buy	02/03/17	J		
53. -iShares Core S & P Small Cap ETF	A	Dividend	J	T	Buy	02/03/17	J		
54. -Vanguard Extended Market ETF	A	Dividend	J	T	Buy	02/03/17	J		
55. -Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy	02/03/17	J		
56. -Vanguard Total International Stock ETF	A	Dividend	J	T	Buy	02/03/17	J		
57. SEP-IRA									
58. -Vanguard Dividend Growth Fund	A	Int./Div.			Sold	12/22/17	K	D	
59. -Vanguard REIT Index Fund	A	Int./Div.			Sold	12/22/17	J	A	
60. -Vanguard Mid Cap	A	Int./Div.			Sold	12/22/17	J	C	
61. -Proshares MSCI EAFE Dividend Grwrs ETF	A	Int./Div.			Buy	02/03/17	J		
62.					Sold	12/22/17	J	B	
63. -Powershares DB Commodity Index Tracking Fund	A	Int./Div.			Buy	02/03/17	K		
64.					Sold	08/25/17	K	A	
65. -iShares Core Dividend Growth ETF	A	Int./Div.	K	T	Buy	12/22/17	K		
66. -Vanguard Emerging Markets Government Bond ETF	B	Int./Div.	K	T	Buy	02/03/17	K		
67. -WisdomTree U.S. Small Cap Dividend ETF	A	Int./Div.	J	T	Buy	02/03/17	J		
68. -WisdomTree Dynamic Long/Short U.S. Equity ETF	A	Int./Div.	K	T	Buy	12/22/17	K		

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69. -Prudential High Yield Fund Class Z	A	Int./Div.	K	T	Buy	12/22/17	K		
70. -Vanguard Inflation Protected Securities Fund Admiral Shares	A	Int./Div.	J	T	Buy	08/25/17	J		
71. -Virtus SEIX Floating Rate High Income Fund Class I	A	Int./Div.	K	T	Buy	08/25/17	K		
72. -Schwab International Core Equity Fund	A	Int./Div.	K	T	Buy	12/22/17	K		
73. -Charles Schwab & Co., Inc. Money Market Account Cas Reserves	A	Interest	J	T					
74. American Funds: The Investment Co. of America A (IRA)	B	Dividend	L	T					
75. 529A #1									
76. -American Funds: The Investment Co. of America	D	Dividend	N	T					
77. -American Funds: The Growth Fund of America	C	Dividend	L	T					
78. 529A #2									
79. -American Funds: The Investment Co. of America	D	Dividend	M	T					
80. Citizen & Northern Bank Accounts	A	Interest	K	T					
81. Perdido Housing Corp. Municipal Bond (Florida)	A	Interest	J	T					
82. 1/3 interest in real estate, Bradford County, Pennsylvania		None	L	Q					
83. 1/3 interest in mineral estate, Bradford County, Pennsylvania		None	L	Q					

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

Part VII, Page 1, Column 82--This real property was assigned value method code "Q", noting an appraisal dated November 1, 2010.

Part VII, Page 1, Column 83--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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544