

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Heffley, Marilyn	2. Court or Organization United State District Court Room 4001	3. Date of Report 02/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE - FULL TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 09/06/2014
7. Chambers or Office Address UNITED STATES COURTHOUSE 601 MARKET STREET - ROOM 4001 PHILADELPHIA, PA 19106-1768		
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.	EXECUTRIX	ESTATE [REDACTED]
2.	TRUSTEE	[REDACTED] REVOCABLE TRUST
3.	PARTNER	REED SMITH, LLP
4.	BOARD OF DIRECTOR	COMMUNITY LEGAL SERVICES
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.	REED SMITH, LLP - CONGRATULATORY GIFT	TIFFANY WATCH	\$6,000.00
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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. Marilyn Heffley Individual NFS									
2. Bank Deposit Sweep Program QPRMQ	A	Interest	M	T	Buy	10/21/13	J		
3. BlackRock PA Municipal Bond Fund Institutional Shares MAPYX	B	Dividend	L	T	Buy	03/04/13	K		
4.					Buy (add'l)	06/05/13	K		
5.					Buy (add'l)	06/12/13	J		
6.					Buy (add'l)	10/21/13			
7. Tweedy, Browne Global Value Fund TBGVX	A	Dividend	K	T	Buy	03/04/13	J		
8.					Buy (add'l)	06/05/13	K		
9.					Buy (add'l)	07/16/13	J		
10.					Buy (add'l)	10/24/13	J		
11. T. Rowe Price Growth Stock Fund	A	Dividend	K	T	Buy	03/04/13	K		
12.						09/30/13	J		
13. AQR Managed Futures Strategy Fund C1 I AQMIX	A	Dividend	K	T	Buy	03/04/13	J		
14.					Buy (add'l)	09/13/13	J		
15.					Buy (add'l)	10/24/13	K		
16. BlackRock Equity Dividend Fund C1 Institutional MADVX	A	Dividend	K	T	Buy	03/04/13	K		
17.					Buy (add'l)	06/05/13	J		

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	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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18. Harding Loevner Institutional Emerging Markets Portfolio HLMEX	A	Dividend	K	T	Buy	03/04/13	J		
19.					Buy (add'l)	06/12/13	J		
20.					Buy (add'l)	10/24/13	K		
21. Prudential Absolute Return Bond Z PADZX	A	Dividend	K	T	Buy	03/04/13	J		
22.					Buy (add'l)	06/05/13	J		
23.					Buy (add'l)	10/24/13	J		
24. Cambiar Small-Cap Fund CI Investor CAMSX	A	Dividend	K	T	Buy	03/04/13	J		
25.					Buy (add'l)	07/16/13	J		
26.					Buy (add'l)	09/13/13	J		
27.					Buy (add'l)	10/24/13	J		
28. Fund Hancock Funds Strategic Income Opportunities Fund CI I JPIX	A	Dividend	K	T	Buy	03/04/13	J		
29.					Buy (add'l)	06/05/13	J		
30. Legg Mason Bw Global Opportunities Bond Fund CI I GOBIX	A	Dividend	K	T	Buy	03/04/13	J		
31.					Buy (add'l)	06/12/13	J		
32.					Buy (add'l)	07/13/13	J		
33. PIMCO All Asset All Authority Fund Institutional CI PAULX	A	Dividend	K	T	Buy	03/04/13	K		
34. American Funds Fundamental Investors A ANCFX	A	Dividend	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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35. Aston/Fairpointe Mid-Cap Fund CI N CHTTX	A	Dividend	J	T	Buy	04/03/13	J		
36. John Hancock Funds Global Absolute Return Strategies Fund CI I JHAIX	A	Dividend	J	T	Buy	06/12/13	J		
37. American Funds Growth Fund of America CI A AGTHX	A	Dividend	J	T					
38. Prudential Global Real Estate CI Z PURZX	A	Dividend	J	T	Buy	03/04/13	J		
39. Franklin PA Tax Free Class C, FRPTX, 354723447		None			Sold	03/04/13	K	C	
40. Western Asset Penn Muni CL C, SPALX, 524691728		None			Sold	03/04/13	K	C	
41. Oppenheimer PA Municipal Class C, OPACX, 683940704		None			Sold	03/04/13	L	A	
42.									
43.									
44. Prime Fund Capital Reserves CI FPRXX	A	Dividend	J	T					
45. PNC Saving Account	A	Interest	J	T					
46. Merrill Edge Cash Management Account	A	Interest	N	T					
47. Energy Transfer Partners, LP	A	Distribution	J	U					
48.									
49. [REDACTED] IRA Rollover	E	Dividend	N	T					
50. - MainStay Large-Cap Growth Fund CI I MLAIX					Buy	05/24/13	J		
51. - Vanguard Equity-Income Fund Investor Shares VEIPX					Buy	05/24/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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52. - Bank Deposit Sweep Program QPRMQ									
53. - John Hancock Funds Strategic Income Opportunities Fund CI I JIPIX					Buy	05/07/13	J		
54.					Buy (add'l)	07/13/13	J		
55. - PIMCO All Asset All Authority Fund Institutional CI PAUIX					Buy	05/24/13	J		
56.					Buy (add'l)	07/31/13	J		
57. - Manning & Napier World Opportunities Fund CI A EXWAX					Buy	05/24/13	J		
58. - Artisan Mid-Cap Value Fund Investor CI ARTQX									
59. - Heartland Value Plus Fund HRVIX					Buy	05/07/13	J		
60. - Templeton Global Bond Fund CI Advisor TGBAX					Buy	05/24/13	J		
61.					Buy (add'l)	06/12/13	J		
62.					Buy (add'l)	07/31/13	J		
63. - Oppenheimer Developing Markets Fund CI Y ODVYX					Buy	05/24/13	J		
64.					Buy (add'l)	07/31/13	J		
65. - AQR Managed Futures Strategy Fund CI I AQMIX									
66. - Eaton Vance Income Fund of Boston CI I EIBIX									
67. - BlackRock Floating Rate Income Fund CI I BFRIX									
68.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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69. [REDACTED] IRA	E	Dividend	N	T					
70. - American Funds AMCAP CI F-2 AMCFX					Buy	03/20/13	J		
71.					Buy (add'l)	03/28/13	J		
72.					Buy (add'l)	05/24/13	J		
73. - John Hancock Funds Global Absolute Return Strategies Fund CI I JHAIX					Buy	03/14/13	J		
74. - BlackRock Strategic Income Opportunities Portfolio CI Instit. BSIIX					Buy	03/12/13	K		
75. - Vanguard Equity-Income Fund Investor Shares VEIPX					Buy	03/20/13	J		
76.					Buy (add'l)	05/24/13	J		
77. - PIMCO Total Return Fund CI P PTPPX					Sold (part)	03/14/13	K		
78.					Sold (part)	12/17/13	J		
79. - Tweedy, Growne Global Value Fund TBGVX					Buy	05/24/13	K		
80. - AQR Managed Futures Strategy Fund CI I AQMIIX					Buy	03/12/13	K		
81. - Templeton Global Bond Fund CI Advisor TGBAX									
82. - Harding Loevner Instit. Emerging Markets Portfolio HLMEX					Buy	03/20/13	J		
83.					Buy (add'l)	03/24/13	J		
84.					Buy (add'l)	07/07/13	J		
85. - Cambiar Small-Cap Fund CI Investor CAMSX					Buy	03/20/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

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86.					Buy (add'l)	05/07/13	J		
87. - Goldman Sachs emerging Market Debt Fund C I I GSDIX									
88. - Western Asset Inflation Indexed Plus Bond Fund C I I WAIIX									
89. - Prudential Absolute Return Bond Z PADZX					Buy	03/08/13	J		
90. - Prudential Global Real Estate C I Z PURZX					Buy	03/12/13	J		
91. - Aston/Fairpointe Mid-Cap Fund C I N CHTTX					Buy	03/20/13	J		
92.					Buy (add'l)	03/28/13	J		
93. - Federated Ins High Yield BD FD					Sold	03/20/13	J		
94. - Bank Deposit Sweep Program QPRMQ									
95. - Federated Short-Term Income Fund C I Y Shares FSTYX					Sold (part)	03/28/13	K		
96. - Dodge & Cox Income FD					Sold	05/07/13	J		
97.					Sold	05/24/13	K		
98.									
99. Neuberger Berman High Income Bond Fund CLA		None			Sold	03/20/13	J	D	
100. Neuberger Berman High Income Bond Fund CLA		None			Sold	03/20/13	J	D	
101. JP Morgan Core Bond Fund C I A		None			Sold	03/12/13	L	F	
102. JP Morgan High-Yield Fund Select C I		None			Sold	03/08/13	J	D	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

Name of Person Reporting

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103.									
104.									
105.									
106.									
107. [REDACTED] IRA Guardian Life Insurance Company	D	Dividend	M	T					
108. - Oppenheimer Strategy Bnd Fund/VA SVC- Annuity B-Series									
109. - RS Inv Quality Bond VIP Series -									
110. - RS Core Equity VIP Series									
111. - PIMCO VIT Total Return Advantage									
112. - BlackRock Large-Cap Core V.I. 3 -									
113. - Fidelity VIP Contrafund Srel2									
114. - Franklin U.S. Government CI2									
115. - RS Low Duration Bond VIP Series									
116. - BlackRock Capital Appreciation Series 1									
117. - Pioneer Cullen Value VCT II									
118. - Pioneer Mid-Cap Value VCT II									
119. - Evergreen VA International Equity 2									

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FINANCIAL DISCLOSURE REPORT

Page 11 of 14

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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)
120. - Fidelity VIP Mid-Cap Portfolio Srel2									
121. - Oppenheimer Main St Small Cap/VA SVC									
122. - Seligman Portfolio Communications & Information 2									
123. - Columbia VIT Small-Cap Value CL B									
124. - Franklin Small-Cap Value Sec Class 2									
125. - Invesco V.I. International Growth Series I									
126. - MFS VIT Utilities Series - SC - Variable Annuity									
127.									
128. [REDACTED] Revocable Trust	B	Interest	N	T					
129. - Cash - Fulton Bank	B	Interest	N	T					
130. - Principal Residence [REDACTED]			M	Q					
131. Estate [REDACTED]	B	Interest	M	T					
132. - Cash - Fulton Bank	B	Interest	M	T					
133.									
134.									
135.									
136.									

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 12 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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)
137.									

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 13 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Heffley, Marilyn

Date of Report

02/05/2015

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/ Marilyn Heffley

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
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