

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Gardner, James Knoll	2. Court or Organization Eastern District of PA	3. Date of Report 09/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2013 to 12/31/2013
7. Chambers or Office Address Edward N. Cahn U.S. Courthouse 504 W. Hamilton Street, #4701 Allentown, PA 18101		
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. Officer, Director	Allentown Symphony Association
2. Director	Boys and Girls Club of Allentown, Inc.
3. Director	Police Athletic League, Inc.
4. General Partner (passive investment in Subchapter "S" Corporation)	1/6 share of Rental Property #1
5. Executive Committee	Minsi Trails Council, Boy Scouts of America

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. 2002	State Employees Pension Fund; retirement pension for former judicial position, includes medical insurance and long-term care benefits, no control
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. 2013	State Employees Pension Fund reported in Part II (fixed benefits from a vested pension plan)	\$67,455.60
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. 2013	self-employed piano teacher
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. The New York Intellectual Property Law Association (NYIPLA)	March 22 to 23, 2013	New York City, NY	91st Annual Dinner	Transportation, Food and Hotel
2. Philadelphia Bar Association	June 7, 2013	Philadelphia, PA	Federal Bench Bar Conference	Breakfast, Lunch, Seminar
3. The Historical Society of the U.S. District Court for the Eastern District of PA	June 11, 2013	Philadelphia, PA	29th Annual Meeting	Reception, Dinner
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.	Prudential Asset Resources (See Part VIII)	1/6 share Mortgage on Rental Property #1, Torrence, California (Part VII, line 1)	P1
2.	Chase Card Services	Credit Card (Visa)	J
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. Rental Property #1, Torrence, California (1997 \$533,333)	E	Rent	P1	Q					
2. Time Share #1, Williamsburg, Virginia (1999 \$18,700)	C	Rent	K	R					
3. Santander Bank Accounts (X) (See Part VIII)	A	Interest	K	T					
4. Brokerage Account #1:									
5. Morgan Stanley Private Bank NA (X) (See Part VIII)	A	Interest	J	T					
6. LM Clearbridge Apprec. Fd. Cl. A - Mut. Fd. (See Part VIII)	B	Dividend	K	T					
7. Calamos Convertible & High Income Fund - Closed End Fund	B	Dividend	K	T					
8. Wells Fargo & Company - Common Stock	A	Dividend	J	T					
9. Calamos Strategic Total Return Fund - Closed End Fund	B	Dividend	K	T					
10. Eaton Vance Tax Eqty. Inc. Fund - Closed End Fund	C	Dividend	K	T					
11. NuStar Energy L.P. - Common Stock	D	Int./Div.	J	T					
12. BT Group PLC ADR - USD - Common Stock	A	Dividend	J	T					
13. BlackRock Global Alloc. Fd. - Mutual Fund	B	Dividend	K	T					
14. Intel Corporation - Common Stock	B	Dividend	K	T					
15. Teva Pharmaceutical Industries - Common Stock	A	Dividend	J	T					
16. Baron Growth Fund-Mutual Fund	A	Dividend	J	T					
17. Eaton Vance Large-Cap Value Fund Class A Mutual Fund	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 - \$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	
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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☐ 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. Janus Forty Class S - Mutual Fund	C	Dividend	J	T					
19. Lazard Emerging Markets Port Fund - Mutual Fund	A	Dividend	J	T					
20. Pimco Total Return Fund Class D - Mutual Fund	A	Dividend	J	T					
21. Pimco Commodity Real Return Fund Class D - Mutual Fund	A	Dividend	J	T					
22. T Rowe Price Int'l Bond Fund - Mutual Fund	A	Dividend	J	T					
23. Royce Premier Fund INV Class - Mutual Fund	A	Dividend	J	T					
24. West Perry Schl. Dist. Bond - Municipal Bond	A	Interest	K	T					
25. Johnson & Johnson - Common Stock	A	Dividend	J	T					
26. Magellan Midstream Partners LP - Common Stock	B	Dividend	K	T					
27. Microsoft Corp. - Common Stock	A	Dividend	J	T					
28. DWS Floating Rate Fund Class C - Mutual Fund	A	Dividend	J	T					
29. DWS Municipal Bond Fund Class C - Mutual Fund	A	Interest	J	T					
30. West. Ast. Money Mkt. Fd. Cl.A - Mut. Fd. (Y) (See Pt. VIII)									
31. Invesco Premier PTF INSTL - Mutual Fund (X) (See Part VIII)		None							
32. Mainstay Hi Yld. Corp. Bond Cl. A - Corporate Bond (X)	A	Dividend	J	T	Buy	03/28/13	J		N/A
33. End of Brokerage Account #1									
34. Brokerage Account #2 (Custodial Account #1) redeemed 5/20/04									

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	
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	(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)

35. Brokerage Account #3 (Custodial Account #2) redeemed 8/28/07									
36. IRA #1 redeemed 8/27/09									
37. Brokerage Account #4:									
38. LM Clearbridge Apprec. Fd. Cl. A - Mut. Fund (See Part VIII)	A	Dividend	J	T					
39. Eaton Vance Global Return Fund Class C Mutual Fund	A	Dividend	J	T					
40. Intel Corporation - Common Stock	A	Dividend	J	T					
41. General Electric Company - Common Stock	A	Dividend	J	T					
42. End of Brokerage Account #4									
43. Time Share #2, Williamsburg, Virginia (2002 \$19,900)	C	Rent	K	R					
44. IRA #2									
45. Royce Total Return Fund Consultant - Mutual Fund	B	Dividend	K	T					
46. Invesco Van Kampen Eq.& Inc. Fd. Cl. C - Mutual Fund	B	Dividend	K	T					
47. American Funds-Growth Fund of America Class C - Mutual Fund	B	Dividend	K	T					
48. Oppenheimer Developing Markets Fund Class C - Mutual Fund	A	Dividend	J	T					
49. Lincoln National Life Insurance Co - Annuity		None	L	T					
50. BlackRock Global Allocation Fund Inc. - Mutual Fund	A	Dividend	K	T					
51. Putnam Asset Allocation Balanced Class C - Mutual Fund	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Consolidated Edison Inc. - Common Stock	A	Dividend	J	T					
53. GNMA REMIC-Ser. [REDACTED] -Ast.-Bkd. Sec. (See Pt. VIII)	A	Interest	J	T	Sold	01/20/13	J		N/A
54. BlackRock Equity Dividend Fund Class C - Mutual Fund	A	Dividend	J	T					
55. Ginnie Mae Ser. [REDACTED] -Ast.-Bkd. Sec.	A	Interest			Sold	04/22/13	J		N/A
56. CITIBANK NA - Bank Deposit Program (Y) (See Part VIII)									
57. Morgan Stanley Bank, N.A. - Bank Deposit Program (X)	A	Interest	J	T					
58. GNMA REMIC-Series [REDACTED] - Asset-Bkd. Security (See Pt. VIII)	A	Interest	J	T	Sold	01/16/13	J		N/A
59. BlackRock Multi-Asset Inc. Class C - Mutual Fund	A	Dividend	K	T					
60. American Funds - Growth Fund of America F1 - Mutual Fund	A	Dividend	K	T					
61. End of IRA #2									
62. New York Life Whole Life	A	Dividend	M	T					
63. Brokerage Account #5 redeemed 04/22/10									
64. KNBT Bank Accounts	A	Interest	K	T					
65. Rental Property #2, Lehigh County, PA (2006 \$250,000)	D	Rent	M	R					
66. Fun \$ [Money] Investment Club - Partnership	B	Int./Div.	J	T					
67. U.S. Savings Bonds	A	Interest	J	T					
68. Fidelity Mutual Life Insurance Co. - Whole Life	A	Dividend	J	T					

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69. Time Share #3, Williamsburg, Virginia (2011 \$19,095)	C	Rent	K	R					
70. Lafayette Ambassador Bank Accounts	A	Interest	J	T					
71. Brokerage Account #6									
72. Stroudsburg PA Area Sch. Dist.-A - Municipal Bond	A	Interest	J	T					
73. Oppenheimer Devel. Mkts.Class C-Mutual Fund	A	Dividend	J	T					
74. PPL Corporation - Common Stock	A	Dividend	J	T					
75. CITIBANK, N.A. - Bank Deposit Program	A	Interest	J	T					
76. End of Brokerage Account #6									

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

1. Re Part VII, Line 3: On October 17, 2013 Sovereign Bank, which was reported in the Financial Disclosure Report for calendar year 2012 in Part VII, Line 3, changed its name to Santander Bank. At that time all Sovereign Bank Accounts became Santander Bank Accounts with the same account numbers and balances as the previous Sovereign Bank Accounts.
2. Re Part VII, Line 5: On August 29, 2013 all cash, deposits and Money Market Funds were transferred from CITIBANK NA Bank Deposit Program, which was reported in the Financial Disclosure Report for calendar year 2012 in Part VII, Line 5, to Morgan Stanley Private Bank NA.
3. Re Part VII, Line 6: The abbreviation "LM" means Legg Mason.
4. Re Part VII, Line 30: On May 1, 2012 Western Asset Money Market Fund Class A changed its name to "Legg Mason WA MMKT A", as reported in Part VIII, Note 2 of the 2012 calendar year Financial Disclosure Report. This was reflected by the insertion of a parenthetical "(Y)" on line 31 of the 2012 calendar year Financial Disclosure Report. On June 15, 2012 and June 19, 2012 Legg Mason WA MMKT A was sold, as reported in Part VIII, Note 3 of the 2012 calendar year Financial Disclosure Report. Therefore, neither Western Asset Money Market Fund Class A, nor Legg Maston WA MMKT A is reportable in the within 2013 calendar year Financial Disclosure Report.
5. Re Part VII, Line 31: On June 19, 2012 a portion of the proceeds from the sale of Legg Mason WA MMKT A (see Note 4, above) was used to buy shares of Invesco Premier PTF INSTL, as reported in Part VIII, Note 3 of the 2012 calendar year Financial Disclosure Report. Because of sales of portions of the Invesco asset reported in Lines 33 and 34 of the 2012 Financial Disclosure Report, the asset fell below the \$1,000 value threshold as of December 31, 2012 and never met the \$200 income threshold that year, as reflected in the 2012 Note 3. That was reflected by insertion of a parenthetical "(Y)" in Section VII, Line 32 of the 2012 report.

During calendar year 2013, the Invesco asset increased in value, and exceeded the \$1,000 value threshold as of December 31, 2013. Therefore, the asset is reported in Section VII, Line 31 of the within calendar year Financial Disclosure Report together with a parenthetical "(X)".
6. Re Part VII, Line 38: The abbreviation "LM" means Legg Mason.
7. Re Part VII, Line 53: A portion of the asset GNMA REMIC - [REDACTED], an asset-backed security, was sold each month in the nature of a return on principal. Line 53, Part D., of Section VII of the within Financial Disclosure Report reflects the partial sale transaction on 01/20/13, with the type of transaction recorded as "Sold" in Section D.(1), the Value Code recorded as "J" in Section D.(3), and the Identity of buyer/seller (if private transaction) recorded as "N/A" (not applicable) in Section D.(5).

These designations in Section D.(1), (3) and (5) in Line 53 are identical for the partial sales of the asset each month in calendar year 2013. The dates of the monthly partial sale transactions subsequent to 01/20/13 in Section D.(2) are 02/20/13, 03/20/13, 04/20/13, 05/20/13, 06/20/13, 07/20/13, 08/20/13, 09/20/13, 10/20/13, 11/20/13 and 12/20/13.

The total of the twelve monthly Value Codes of "J" in Section D.(3) is an annual Value Code of "J" for calendar year 2013 in Section D.(3).

8. Re Part VII, Line 56: Bank deposits for IRA #2 are held at either Morgan Stanley Bank, N.A. or CITIBANK, N.A. From January 1, 2013 to December 16, 2013 the IRA #2 bank deposits were held in CITIBANK, N.A. From December 16 to 31, 2013 the IRA #2 bank deposits were held in Morgan Stanley Bank, N.A. No IRA #2 funds were held in CITIBANK, N.A. on December 31, 2013. Nor did the CITIBANK, N.A. account meet the 2013 \$200 annual income threshold. Therefore, the CITIBANK, N.A. asset is not reported in the within Financial Disclosure Report for calendar year 2013. I have reflected that by listing the CITIBANK, N.A. asset in Part VII, Line 56, on Page 7 of 10 of the within report together with a parenthetical "(Y)" on Line 56.

As of December 31, 2013 the Morgan Stanley Bank, N.A. asset exceeded the \$5,000 value threshold for bank deposits. I have reflected that by listing the Morgan Stanley Bank, N.A. asset in Part VII, Line 57 on Page 7 of 10 of the within report together with a parenthetical "(X)".

9. Re Part VII, Line 58: All of the asset GNMA REMIC - Series 2012 Class 129 YA, an asset-backed security, was sold in 2013. A portion of the asset was sold each month in the nature of a return on principal. Line 58, Part D., of Section VII of the within Financial Disclosure Report reflects the partial sale transaction on 01/16/13, with the type of transaction recorded as "Sold" in Section D.(1), the Value Code recorded as "J" in Section D.(3), and the Identity of buyer/seller (if private transaction) recorded as "N/A" (not applicable) in Section D.(5).

These designations in Section D.(1), (3) and (5) in Line 58 are identical for the partial sales of the asset each month in calendar year 2013. The dates of the monthly partial sale transactions subsequent to 01/16/13 in Section D.(2) are 02/16/13, 03/16/13, 04/16/13, 05/16/13, 06/16/13, 07/16/13, 08/16/13, 09/16/13, 10/16/13, 11/16/13 and 12/16/13.

The total of the twelve monthly Value Codes of "J" in Section D.(3) is an annual Value Code of "J" for calendar year 2013 in Section D.(3).

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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/ James Knoll Gardner**

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