AO 10 Rev. 1/2012

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011

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)	2. Court or Organization	3. Date of Report
Goldberg, Mitchell S.	U S. District Court, Eastern District of Pennsylvania	05/7/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U. S. District Judge - Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2011 to 12/31/2011
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. Insert signature on last page.***

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. 2011	Drexel Law School (Teaching appointment to start September, 2011)
3. 2011	Temple Law School (Teaching appointment to start January, 2011)

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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. 2011	Drexel Law School - Payment for teaching	$7,500.00
2. 2011	Trust Distribution	$3,500 00
3. 2011	Pennsylvania Employee Retirement System	$13,818.00
4. 2011	Temple Law School - Payment for teaching	$5,196.00

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. 2011	Herstine Technology - salary
2 2011	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American Bar Association	4/4/28/11 - 4/30/11	Orland, Florida	Tort Trial & Insurance Practice Section - Speaker	Transportation, meals, hotel
2	PLI	6/29/11	New York, NY	Markman Hearing Claim construction in Patent Litigation - Speaker	Transportation, meals
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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 - I/3 Interest - property located in Stewart, FL	B	Rent	M	W					
2	American Fund #1 - 529 - age or risk based - no control		None	K	T					
3.	American Fund #2 - 529 - age or risk based - no control		None	K	T					
4.	American Fund #4 - 529 - age or risk based - no control		None			Redeemed	12/7/11	J		
5	Morgan Stanley Smith Barney #1 - Common stocks & options.									
6.	Citibank NA Bank Deposit Program (formerly Bank Dep Pro #BDP	A	Interest	K	T					
7.	Baxter Intl. Inc. -		None			Sold	05/18/11	K		
8.	Bristol Myers Squibb Co.		None			Sold	12/07/11	J		
9.	HCP Inc.		None	K	T					
10.	Kimberly Clark Corp.		None	J	T					
11.	Metlife Inc	A	Dividend	K	T					
12.	Microsoft Corp.	A	Dividend	K	T					
13.	Pepsico Inc.	A	Interest	J	T					
14.	Sysco Inc.		None	J	T					
15.	Wal-Mart Stores Inc.		None	K	T					
16.	E I Du Pont De Nemours & Co	B	Dividend	K	T	Buy	6/14/11	K		
17.	Energy Transfer Partners L.P Unit L.P Int		None	K	T	Buy	6/8/11	K		

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	

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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Hewlett Packard Co		None	K	T	Buy	3/8/11	K		
19. Morgan Stanley Smith Barney Corporate Bonds:									
20. General Electric Cap Corp.	A	Interest	K	T					
21. Berkshire Hathaway Fin. Corp.	A	Interest	K	T					
22. Pepsico Inc.	A	Interest	K	T					
23. Morgan Stanley Smith Barney GSE Bonds:									
24. Federal Home Loan Mortgage Corp.	A	Interest			Matured	03/30/11	K		
25. Morgan Stanley Smith Barney Certificates of Deposit:									
26. Ally Bank-UT (Formerly GMAC Bank) #1	A	Interest	K	T					
27. Ally Bank-UT (Formerly GMAC Bank) #2	A	Interest	K	T					
28. Ally Bank-UT (Formerly GMAC Bank) #3	A	Interest	K	T					
29. Ally Bank - UT #4 (Formerly Federal Home Loan Mortgage Corp.	A	Interest	K	T	Open	4/4/11	K		See Part VIII
30. Morgan Stanley Smith Barney #2 - Financial: Management Acct.									
31. Powershares QQQ TR Ser I	A	Dividend	J	T					
32. Exxon Mobil Corp	A	Dividend	J	T					
33. LMP Shot-Term bond Fund Class C	A	Dividend	J	T					
34. Waste Mgmt Inc Del		None	J	T	Buy	12/13/11	J		

1 Income Gain Codes (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100 001 - $250,000	
	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		
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35. Morgan Stanley Smith Barney #3 - Citi Group									
36. Tyco Intl Ltd Chf		None	J	T	Buy	9/6/11	J		
37. Baxter Intl Inc		None	J	T	Buy	12/13/11	J		
38. Pepsico Inc		None	J	T	Buy	9/6/11	J		
39. Waste Mgmt Inc Del	A	Dividend	J	T	Buy	9/6/11	J		
40. Wells Fargo #1 - Hartford Annuity:									
41. AMR Blue Chip Income and Growth		None			Sold	9/6/11	J	A	
42. AMR Global Growth		None			Sold	9/6/11	J	A	
43. AIM Mid Cap Core Equity Fund		None			Sold	9/6/11	J	A	
44. F-T Small-Mid Cap Growth		None			Sold	9/6/11	J	A	
45. AMR Growth-Income		None			Sold	9/6/11	J	A	
46. Oppenheimer Fund - Retirement IRA		None	J	T					
47. Sirius XM Radio, Inc - Stock		None	J	T					
48. Annuities, Savings & Checking Accounts:									
49. ING Annuity & Life Ins.	A	Interest			Sold	2/7/11	K		
50. ING Direct Savings Account (X)	A	Interest	J	T					
51. TD Bank Checking Account (X)		None	J	T					

1. Income Gain Codes (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, line 29 - This item was opened as a result of the maturing of line 24.

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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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