

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) Roth, Jane R.	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 07/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Senior)	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 18316 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.		
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.)*

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. Fordham Law School	April 2-3	New York City	Moot Court	Transportation and Lodging
2. Emory Law School	Oct.15-16	Atlanta, GA	Moot Court	Transportation and Lodging
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.)*

	<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.	M & T Bank	Loan	K
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. M & T Bank Checking Acct	A	Interest	J	T					
2. Wells Fargo Bank Checking	D	Interest	J	T					
3. Wells Fargo Bank Savings	C	Interest	J	T					
4. TRUST WITH WILM. TRUST (H)									
5. Exxon Common Stock	B	Dividend	K	T					
6. Johnson & Johnson Common	B	Dividend	L	T					
7. Pepsico Common Stock	B	Dividend	L	T					
8. Proctor & Gamble Common	A	Dividend	K	T					
9. Minnesota M&M Common (MMM)	B	Dividend	L	T	Sold (part)	05/18/16	K	D	
10. Hewlett-Packard Common	A	Dividend	K	T					
11. HP Inc	A	Dividend	J	T					
12. Air Prod & Chem Common	B	Dividend	L	T					
13. Versum Materials	A	Dividend	J	T	Spinoff (from line 12)	10/01/16	J		
14. WTC Funds (H)									
15. -Ishares - Utilities	A	Dividend	K	T					
16. -Ishares - MSCI EAFE	C	Dividend	M	T					
17. -Ishares - Russell 2000	A	Dividend	K	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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18. -Ishares - S&P 500 Growth	C	Dividend	M	T					
19. -Ishares - S&P 500 Value	C	Dividend	M	T					
20. Morgan Stanley Inst Fund	A	Dividend			Sold	12/30/16	K		
21. Vanguard MSCI EAFE	B	Dividend	L	T					
22. Vanguard MSCI Emerging Markets	C	Dividend	M	T	Sold (part)	04/26/16	K	D	
23. Victory Integrity Small Cap	A	Dividend	K	T					
24. Wilm. Prime Money Market	A	Interest	M	T					
25. WilmLarge-CapFund	D	Dividend	N	T	Sold (part)	04/22/16	L	E	
26. Trust (H)									
27. Municipal Bond Common Fund					Sold				
28. Max Appreciation Fund	A	Dividend	L	T					
29. M&T Corp.	B	Dividend	L	T					
30. Wilm Prime Money Market	A	Dividend			Merged (with line 31)	08/15/16	J		
31. Wilm Govt Fund	A	Dividend	J	T		08/15/16			
32. Wilm Trust IRA (H)									
33. Absolute Strategies		None	L	T	Buy	08/12/16	L		
34. AQR Managed Futures	C	Dividend	L	T	Buy	11/14/16	L		

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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. Vanguard Market Neutral	A	Dividend	L	T	Buy	08/12/16	K		
36. William Blair Blue T.E. Fund		None	M	T	Sold (part)	07/29/16	L	C	
37.					Sold (part)	10/27/16	M	F	
38. William Blair T.E. Fund		None	K	T	Sold (part)	08/01/16	L	E	
39.					Sold (part)	10/27/16	K	B	
40. Harbor Fund Internat'l	A	Dividend			Sold	04/25/16	L		
41. Cambiar Intl Equity Fund	B	Dividend	M	T	Buy	04/25/16	K		
42.					Buy (add'l)	11/14/16	L		
43. Ishares Core MSCI	B	Dividend	L	T	Buy	11/16/16	L		
44. Vanguard Dividend Appreciation	C	Dividend	M	T					
45. WCM Focused Intl Growth Fund	A	Dividend	M	T	Buy	04/25/16	K		
46.					Buy (add'l)	11/14/16	L		
47. Vanguard FTSE	A	Dividend			Sold	04/05/16	K	A	
48. Vanguard Inflation Protected	C	Dividend	M	T	Buy (add'l)	11/14/16	K		
49. Wilmington U.S. Govt Fund W Class	A	Dividend	K	T					
50. FPA New Income fund	C	Dividend	M	T					
51. Scout Bond Fund	B	Dividend	M	T					

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52. Credit Suisse Comdty		None			Sold	05/16/16	K		
53. WTC Roth IRA (H)									
54. Absloute Strategies Fund		None	K	T					
55. Diamond Hill Large Cap	A	Dividend	K	T	Sold (part)	02/29/16	J		
56.					Buy (add'l)	03/24/16	J		
57.					Sold (part)	09/27/16	J	A	
58.					Sold (part)	11/16/16	J	A	
59. Ishares Barclays Tips Bond Fund	A	Dividend	J	T	Sold (part)	02/26/16	J	A	
60.					Sold (part)	03/02/16	J		
61.					Buy (add'l)	03/24/16	J		
62.					Sold (part)	08/16/16	J	A	
63. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Dividend	J	T	Buy (add'l)	01/26/16	J		
64.					Buy (add'l)	03/02/16	J		
65.					Sold (part)	08/16/16	J	A	
66.					Sold (part)	11/18/16	J	A	
67. Ishares Msci Small Cap	A	Dividend			Sold (part)	02/26/16	J	A	
68.					Sold	03/02/16	J	A	

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69. Ishares Currency Hedged Eurozone	A	Dividend		T	Buy	02/26/16	J		
70.					Buy (add'l)	03/02/16	J		
71.					Sold	05/12/16	J	A	
72. Ishares Core Msci Emerging	A	Dividend	K	T	Buy	02/26/16	J		
73.					Buy (add'l)	03/02/16	J		
74.					Buy (add'l)	05/12/16	J		
75.					Buy (add'l)	08/16/16	J		
76.					Buy (add'l)	11/18/16	J		
77. JPMorgan US Small	A	Dividend	K	T	Sold (part)	06/21/16	J		
78.					Buy (add'l)	09/27/16	J		
79.					Sold (part)	11/16/16	J	A	
80. LSV Value Equity Fund	A	Dividend	K	T	Buy	02/29/16	J		
81.					Buy (add'l)	06/21/16	J		
82.					Sold (part)	08/12/16	J	A	
83.					Sold (part)	09/27/16	J	A	
84.					Sold (part)	11/16/16	J	A	
85. Morgan Stanley IF Growth		None	K	T	Buy (add'l)	02/29/16	J		

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86.					Buy (add'l)	06/21/16	J		
87.					Sold (part)	08/12/16	J		
88.					Sold (part)	09/27/16	J	A	
89.					Buy (add'l)	11/16/16	J		
90. SPDR Dow Jones Intl Real Estate	A	Dividend	J	T	Buy (add'l)	02/26/16	J		
91.					Buy (add'l)	03/02/16	J		
92.					Sold (part)	08/16/16	J	A	
93. T Rowe Price Large Cap	A	Dividend	K	T	Buy	02/29/16	J		
94.					Buy (add'l)	03/24/16	J		
95.					Sold (part)	09/27/16	J	A	
96. Touchstone Small Cap		None	J	T	Buy	02/29/16	J		
97.					Sold (part)	06/21/16	J	A	
98. Vanguard FTSE Developed Markets	B	Dividend	L	T	Sold (part)	02/26/16	K		
99.					Buy (add'l)	05/12/16	J		
100.					Sold (part)	03/02/16	J		
101.					Buy (add'l)	06/23/16	J		
102.					Buy (add'l)	11/18/16	J		

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103. Victory Integrity	A	Dividend	J	T	Buy	02/29/16	J		
104.					Sold (part)	06/21/16	J	A	
105.					Sold (part)	11/16/16	J	A	
106. Wilm Small-Cap Strategy Fund	A	Dividend	J	T					
107. Wilm Large-Cap Strategy Fund	B	Dividend	M	T	Sold (part)	02/29/16	K	C	
108.					Sold (part)	06/21/16	J	C	
109. Wilm Prime MM Fund	A	Dividend	J	T					
110. Wisdomtree Japan Hedged Equity		None			Buy (add'l)	02/26/16	J		
111.					Buy (add'l)	03/03/16	J		
112.					Sold	03/29/16	J	A	

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

Section VII, Line 27, Municipal Bond Common Fund was sold on 12/4/15 - mistakenly reported as WTC Common Funds, line 29 on 2015 Report. These investments were mistakenly listed as two when they were in fact just one investment.

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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/ Jane R. Roth**

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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