

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Sloviter, Dolores K.	2. Court or Organization United States Court of Appeals for the Third Circuit	3. Date of Report 08/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 18614 United States 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust # 1
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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. 2012	Temple University, Phila., PA	\$1,775.00
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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. AT&T - com. stock	D	Dividend	M	T					
2. Beneficial Mutual Bancorp - com. stock	A	Dividend	J	T					
3. Exelon - com. stock	C	Dividend	L	T					
4. GE - com. stock	B	Dividend	O	T					
5. IT&T Industries - com. stock	A	Dividend	J	T					
6. HanesBrand, Inc. - com. stock		None	J	T					
7. Hartford Fin. Services - com. stock	A	Dividend	J	T					
8. PSEG	A	Dividend	K	T					
9. Sara Lee - com. stock, now Hillshire Brand	A	Dividend	J	T					
10. Exeles	A	Dividend	J	T					
11. Xylem	A	Dividend	J	T					
12. Vanguard Mun. Bond Funds - see VIII	G	Dividend	P1	T					
13. Vanguard Windsor II - see VIII	E	Dividend	O	T					
14. Vanguard Star Fund	B	Dividend	M	T					
15. Vanguard 500 Index Fund	C	Dividend	M	T					
16. Allegheny Higher Ed., 4.5%, '22	A	Interest	J	T					
17. Allentown Pa Parking Auth. 5%, '38	B	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 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 (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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)

18. Bucks County W & S, 5%, '22	A	Interest	J	T	Sold	6/14/12	J		
19. Chambersburg S.D., 4.6%, '25	B	Interest	K	T					
20. Dauphin Cty., 4.5%, '26	A	Interest	J	T					
21. Dauphin Cty., 4%, '26	B	Interest	K	T					
22. Del. Port Auth. - N.J. Port Auth., 5.2%, '25	B	Interest	K	T	Sold	4/26/12	K		
23. Greater Johnstown, 5%, '19	A	Interest	J	T					
24. Lower Merion S.D., 4.8%, '25	A	Interest	K	T					
25. Muhlenberg, PA, 5%, '23	A	Interest	K	T	Sold	9/4/12			
26. Northampton, 5%, '39	A	Interest	K	T					
27. Northeastern York, 4.5%, '26	B	Interest	K	T					
28. Pa. Turnpike, 5%, '23	A	Interest	J	T	Sold	12/1/11			
29. Pa. Turnpike, 5%, '23	A	Interest	J	T	Sold	12/6/11			
30. Pa. 4th Series, 4.5%, '24	A	Interest	K	T					
31. Pa. St. HFA, 4.5%, '24	A	Interest	K	T					
32. Pa. Turnpike, 4.75%, '27	A	Interest	J	T					
33. Pa. First Series B, 4.375%, '27	B	Interest	K	T					
34. Pa. St. Pub. Sch. Bldg., 4.3%, '27	A	Interest	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 = \$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 6 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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)

35. Pa. First Series B/E, 4.375%, '28	B	Interest	K	T					
36. Pa. Turnpike, 5%, '39	A	Interest	J	T					
37. Pa. Hsg. Fin. Agency, 4.75%, '39	B	Interest	K	T					
38. Phila. Parking, 5.125%, '24	A	Interest	J	T					
39. Reading, 4.45%, '27	B	Interest	K	T					
40. Reading S.D., 4.75%, '38	B	Interest	K	T					
41. Somerset S.D., 4.2%, '22	A	Interest	K	T					
42. formerly Wachovia Accts., now Wells Fargo	A	Interest	K	T					
43. Temple University Charitable Gift Annuity	A	Interest	K	T					
44. Trust # 1 Wachovia Bank	F	Interest	O	T					
45. Univ. of Pennsylvania Charitable Gift Annuity	A	Interest	K	T					
46. Allentown Pa Parking Auth. 5%, '38	B	Interest	J	T					
47. Butler Swr Auth. 4.9%	E	Interest	J	T					
48. Pa. Hg Fin. 4.625%, '31	A	Interest	K		Buy	09/23/11	K		
49. Reading Water 5.08, '31		None			Buy	11/29/11	K		
50. Uniontown Area SD 4.35%, '34	A	Interest		T			K		
51. Frazier Pa. School District	A	Interest	K	T	Buy	09/05/12	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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)

52. Neshamock Twp. Pa School	B	Interest	L	T	Buy	05/18/12	L	F	
53. Washington Pa Parking Authority	B	Interest	L	T	Buy	05/18/12	L	F	
54. Jeannette Pa School District	C	Interest	L	T	Buy	05/23/12	L	F	
55. Highridge Pa Wtr Auth	B	Interest	L	T	Buy	05/18/12	L	F	
56. Cecil Twp Pa Mun Auth	B	Interest	L	T	Buy	05/23/12	L	C	
57. Midd West Sch District PA	B	Interest	L	T	Buy	05/18/12	L	A	
58. Olney Valley Pa School District	B	Interest	L	T	Buy	05/18/12	L	B	
59. Fairfield Pa Area School	B	Interest	L	T	Buy	05/23/12	L	A	
60. Deer Lakes School District PA	A	Interest	L	T	Buy	05/21/12	L	A	
61. Mon Vly Pa Swr Auth	B	Interest	L	T	Buy	05/23/12	L	B	
62. Washington Cnty Pa Ser	C	Interest	L	T	Buy	05/21/12	L	A	
63. Mifflin Cnty Pa Rfdg	C	Interest	M	T	Buy	05/21/12	M	A	
64.									

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 8 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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

The Vanguard Municipal Bond Funds in VII have checking account features and were used for various transactions throughout the year.

The Trust #1 in VII - only asset is a Wachovia Bank account

Dear Sir/Madam:

I sold my home down the shore on May 22, 2012. [REDACTED]. It has been difficult for me to find some of the records I needed to complete the Financial Disclosure Report. I will search for any information you or your committee deem necessary.

Please see information below regarding my shore house.

Thank you.

Dolores K. Sloviter, Circuit Judge

[REDACTED]
Sold 5/22/12 - Gross Sale \$97,500.00

Cost was \$89,605.20

Gain \$7,894.80

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

08/07/2013

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/ Dolores K. Sloviter**

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