

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) ROTH, JANE R.	2. Court or Organization THIRD CIRCUIT COURT OF APPEALS	3. Date of Report 08/08/2012
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 01/01/2011 to 12/31/2011
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. 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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Fordham Law School	Mar. 27-28	New York City	Moot Court	Transportation and Lodging
2. Foundation for Research on Economics & the Environment	Aug. 28-Sept. 1	Boseman, MT	Conference	Transportation and Lodging
3. Emory Law School	Oct.15-16	Atlanta, GA	Moot Court	Transportation and Lodging
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.	Wells Fargo	Mortgage, Seeley Lake, MT	M
2.	Wilmington Trust Co.	Loan	M
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 (formerly Wilmington Trust)	A	Interest	J	T					
2. Wells Fargo Bank Checking (formerly Wachovia)	A	Interest	J	T					
3. Wells Fargo Bank Savings (formerly Wachovia)	A	Interest	J	T					
4. TRUST WITH WILM. TRUST									
5. Exxon Common Stock	B	Dividend	L	T					
6. Johnson & Johnson Common	B	Dividend	L	T	Sold (part)	06/24/11	K		
7.					Sold (part)	07/12/11	K		
8. Pepsico Common Stock	B	Dividend	L	T	Sold (part)	07/12/11	K		
9. Proctor & Gamble Common	B	Dividend	L	T	Sold (part)	10/07/11	K		
10. Minnesota M&M Common	B	Dividend	L	T					
11. Hewlett-Packard Common	A	Dividend	K	T					
12. Air Prod & Chem Common	A	Dividend	K	T					
13. WTC Common Funds	E	Dividend	O	T	Sold (part)	05/16/11	K		
14.					Sold (part)	05/20/11	K		
15.					Sold (part)	05/23/11	K		
16.					Sold (part)	06/16/11	J		
17.					Sold (part)	06/22/11	L		

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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$50,001 - \$1,000,000	L ~\$50,001 - \$100,000 P ~\$1,000,001 - \$5,000,000 Q ~\$5,000,001 - \$25,000,000	M ~\$100,001 - \$250,000 P ~\$1,000,001 - \$5,000,000 Q ~\$5,000,001 - \$25,000,000	R ~\$25,000,001 - \$50,000,000 S ~\$50,000,001 - \$100,000,000 T ~\$100,000,001 - \$500,000,000
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.)

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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)
18.					Sold (part)	07/20/11	L		
19.					Sold (part)	09/16/11	K		
20.					Sold (part)	10/31/11	K		
21.					Sold (part)	12/01/11	J		
22.					Sold (part)	12/07/11	J		
23. Wilm. Prime Money Market	A	Interest	L	T					
24. Genesis Fund	C	Interest	M	T					
25. Credit Suisse Fund	C	Interest	L	T					
26. WilmLarge-CapFund	D	Interest	M	T					
27. Trust									
28. Municipal Bond Fun d	B	Interest	K	T					
29. M&T Corp. Common (formerly Wilm Trust)	B	Dividend	K	T					
30. WTC Common Funds	A	Dividend	J	T	Sold (part)	09/16/11	J		
31.					Sold (part)	10/17/11	J		
32. Wilm Prime Money Market	A	Interest	J	T					
33. Wilm Trust IRA									
34. William Blair Blue Fund		None	O	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	
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35. Pimco					Sold	01/06/11	M		
36. Wilm Trust Mutual Fund - Mid Cap					Sold	01/06/11	K		
37. U.S. Govt Fund	A	Interest	M	T					
38. Ishares	B	Interest			Sold (part)	01/06/11	M		
39.					Sold	12/05/11	L		
40. Vanguard Index Fund	D	Interest	N	T	Buy	11/06/11	N		
41. Harbor Fund Internat'l	B	Interest	L	T	Buy	06/24/11	L		
42. Wilm Trust Roth IRA - Mutual Funds	C	Interest	M	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	
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Line 34, BlueGuidance, name changed to William Blair Blue Fund on 4/29/11.

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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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