

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 08/26/2016
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 01/01/2015 to 12/31/2015
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. Vice President	Friends of the Palisades Library
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. Fordham Law School

Apr. 2-3

New York City

Moot Court

Transportation and Lodging

2.

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	K	T					
2. Wells Fargo Bank Checking	A	Interest	J	T					
3. Wells Fargo Bank Savings	A	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	K	T					
8. Proctor & Gamble Common	A	Dividend	K	T					
9. Minnesota M&M Common (MMM)	B	Dividend	L	T					
10. Hewlett-Packard Common	A	Dividend	J	T					
11. HP, Inc	A	Dividend	J	T	Spinoff (from line 10)	11/01/15	J		
12. Air Prod & Chem Common	B	Dividend	L	T					
13. WTC Funds (H)									
14. -Ishares - Utilities	B	Dividend	K	T					
15. -Ishares - MSCI EAFE	C	Dividend	M	T					
16. -Ishares - Russell 2000	A	Dividend	K	T					
17. -Ishares - S&P 500 Growth	C	Dividend	M	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	

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18. -Ishares - S&P 500 Value	C	Dividend	M	T					
19. Morgan Stanley Inst Fund	A	Dividend	K	T	Buy	11/20/15	K		
20. Neuberger-Berman Genesis Fund	A	Dividend			Sold	11/20/15	L	E	
21. Vanguard MSCI EAFE	B	Dividend	L	T					
22. Vanguard MSCI Emerging Markets	D	Dividend	M	T					
23. Victory Integrity Small Cap	A	Dividend	K	T	Buy	11/20/15	N		
24. Wilm. Prime Money Market	A	Interest	M	T					
25. WilmLarge-CapFund	D	Dividend	N	T					
26. Trust (H)									
27. Municipal Bond Common Fund	A	Dividend	K	T					
28. M&T Corp.	B	Dividend	L	T					
29. WTC Common Funds	A	Dividend			Sold	12/03/15	K	B	
30. Maximum Appreciation Fund	A	Dividend	K	T	Buy	12/03/15	K		
31. Wilm Prime Money Market	A	Interest	J	T					
32. Wilm Trust IRA (H)									
33. William Blair Blue T.E. Fund		None	N	T					
34. William Blair T.E. Fund		None	M	T					

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35. Harbor Fund Internat'l	B	Dividend	L	T					
36. Vanguard Dividend Appreciation	C	Dividend	M	T					
37. Vanguard FTSE	B	Dividend	L	T					
38. Vanguard Inflation Protected	A	Dividend	L	T					
39. Wilmington U.S. Govt Fund W Class	A	Dividend	K	T					
40. FPA New Income fund	B	Dividend	M	T					
41. Scout Bond Fund	B	Dividend	M	T					
42. Credit Suisse Comdty		None	J	T					
43. WTC Roth IRA (H)									
44. Absloute Strategies Fund		None	K	T					
45. Ishares Barclays Tips Bond Fund	A	Dividend	J	T	Buy (add'l)	11/17/15	J		
46. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Dividend	J	T					
47. Ishares Msci Small Cap	A	Dividend	J	T					
48. Ishares Currency Hedged Eurozone	A	Dividend	J	T	Buy	09/21/15	J		
49. Ishares Core Emerging	A	Dividend	J	T	Buy	10/20/15	J		
50. Powershares DB Commodity		None			Sold	12/29/15	J	A	
51. SPDR Dow Jones Intl Real Estate	A	Dividend	J	T					

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52. Vanguard Msci Emerging Markets	A	Dividend			Sold	09/21/15	J	A	
53. Vanguard FTSE Developed Markets	B	Dividend	L	T					
54. Wilm Small-Cap Strategy Fund	A	Dividend			Sold	08/05/15	J	A	
55. Wilm Large-Cap Strategy Fund	B	Dividend	L	T	Sold (part)	08/21/15	K	A	
56.					Sold (part)	10/16/15	J	A	
57. JP Morgan US Small	A	Dividend	J	T	Buy	08/21/15	J		
58. Diamond Hill Large Cap	A	Dividend	J	T	Buy	08/21/15	J		
59.					Buy (add'l)	11/13/15	J		
60. Morgan Stanley Inst Fund		None	J	T	Buy	08/21/15	J		
61.					Buy (add'l)	11/13/15	J		
62. Wisdomtree Japan Hedged	A	Dividend	J	T	Buy	08/25/15	J		
63. Wilm Prime MM Fund	A	Dividend	J	T					

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

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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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Washington, D.C. 20544