

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 07/14/2014
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 01/01/2013 to 12/31/2013
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. Sept. 14	Sale of original water color painting	\$350.00
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. Fordham Law School	Mar. 23-25	New York City	Moot Court	Transportation and Lodging
2. Emory Law School	Oct. 12-14	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 (formerly Wilmington Trust Co.)	Loan	M
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	L	T					
2. Wells Fargo Bank Checking	A	Interest	J	T					
3. Wells Fargo Bank Savings	A	Interest	J	T					
4. TRUST WITH WILM. TRUST									
5. Exxon Common Stock	B	Dividend	L	T					
6. Johnson & Johnson Common	B	Dividend	K	T	Sold (part)	1/16/13	K	E	
7.					Sold (part)	4/30/13	K	E	
8. Pepsico Common Stock	B	Dividend	K	T	Sold (part)	4/30/13	K	E	
9. Proctor & Gamble Common	A	Dividend	K	T					
10. Minnesota M&M Common (MMM)	B	Dividend	L	T	Sold (part)	1/16/13	K	E	
11. Hewlett-Packard Common	A	Dividend	K	T					
12. Air Prod & Chem Common	B	Dividend	L	T					
13. WTC Funds									
14. -Ishares - Utilities	A	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	B	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 = \$250,001 - \$500,000,000	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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☐ 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 I (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. -Ishares - S&P 500 Value	C	Dividend	M	T					
19. Neuberger-Berman Genesis Fund	A	Dividend	L	T					
20. Vanguard MSCI EAFE	B	Dividend	L	T					
21. Vanguard MSCI Emerging Markets	D	Dividend	M	T					
22. Wilm. Prime Money Market	A	Interest	K	T					
23. WilmLarge-CapFund	D	Interest	N	T					
24. Trust									
25. Municipal Bond Common Fund	B	Dividend	K	T					
26. M&T Corp. Common (formerly Wilm Trust)	B	Dividend	L	T					
27. WTC Common Funds	A	Dividend	J	T	Sold (part)	1/15/13	J		Loss
28.					Sold (part)	6/19/13	J		Loss
29. Wilm Prime Money Market	A	Interest	J	T					
30. Wilm Trust IRA									
31. William Blair Blue T.E. Fund		None	N	T					
32. William Blair T.E. Fund		None	M	T					
33. Harbor Fund Internat'l	B	Interest	L	T					
34. Global Natural Resources	A	Interest			Sold	4/30/13	K	C	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ 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. Vanguard Dividend Appreciation	B	Interest	M	T	Sold (part)	4/30/13	L	E	
36.					Sold (part)	12/24/13	M	E	
37. Vanguard FTSE	B	Interest	L	T	Buy	4/30/13	L		
38. Vanguard Inflation Protected	B	Interest	L	T	Buy	8/16/13	L		
39. Wilmington U.S. Govt Fund W Class	A	Interest	M	T					
40. Ridgeworth Seix	D	Interest	M	T	Buy	4/30/13	M		
41. Credit Suisse Comdty		None	K	T	Buy	4/30/13	K		
42. WTC Roth IRA									
43. Absolute Strategies Fund	A	Interest	K	T					
44. Fidelity Focused High Income	A	Interest	J	T					
45. Ishares Barclays Tips Bond Fund	A	Interest	J	T	Buy (add'l)	1/02/13	J		
46.					Buy (add'l)	2/26/13	J		
47.					Buy (add'l)	5/29/13	J		
48.					Buy (add'l)	7/31/13	J		
49.					Buy (add'l)	8/16/13	J		
50.					Buy (add'l)	10/31/13	J		
51. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Interest	J	T	Sold (part)	2/26/13	J		

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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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52.					Buy (add'l)	10/31/13	J		
53. Ishares Msci Small Cap	A	Interest	J	T	Buy	7/31/13	J		
54.					Buy (add'l)	8/30/13	J		
55.					Sold (part)	10/31/13	J		
56. Pimco High Yield	A	Interest	J	T	Buy (add'l)	1/02/13	J		
57.					Sold (part)	1/29/13	J		
58. Powershares DB Commodity		None	J	T	Buy (add'l)	1/02/13	J		
59.					Buy (add'l)	2/26/13	J		
60.					Buy (add'l)	5/29/13	J		
61.					Buy (add'l)	10/31/13	J		
62. Ridgeworth Seix			J	T	Buy	1/28/13	J		
63.					Buy (add'l)	2/26/13	J		
64.					Sold (part)	5/30/13	J		
65.					Sold (part)	10/31/13	J		
66. SPDR Global Natural Resources	A	Interest	J	T	Buy (add'l)	1/2/13	J		
67.					Buy (add'l)	2/8/13	J		
68.					Buy (add'l)	3/27/13	J		

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69. SPDR Dow Jones Intl Real Estate	A	Interest	J	T	Buy (add'l)	2/26/13	J		
70.					Sold (part)	8/30/13	J		
71.					Buy (add'l)	5/29/13	J		
72.					Sold (part)	10/31/13	J		
73. Vanguard MSI EAFE	B	Interest	K	T	Buy (add'l)	2/26/13	J		
74. Vanguard Msci Emerging Markets	A	Interest	K	T	Buy (add'l)	1/2/13	J		
75.					Sold (part)	1/7/13	J		
76.					Buy (add'l)	2/26/13	J		
77.					Buy (add'l)	5/29/13	J		
78.					Sold (part)	7/31/13	J		
79.					Sold (part)	8/30/13	J		
80.					Sold (part)	10/31/13	J		
81. Vanguard Dividend Appreciation	A	Interest	J	T	Buy (add'l)	1/7/13	J		
82. Vanguard FTSE Developed Markets			J	T	Buy	5/29/13	J		
83.					Buy (add'l)	7/31/13	J		
84.					Sold (part)	10/31/13	J		
85. Wilm Small-Cap Strategy Fund	A	Interest	J	T	Buy (add'l)	1/2/13	J		

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86.					Buy (add'l)	2/26/13	J		
87.					Buy (add'l)	3/27/13	J		
88.					Buy (add'l)	5/29/13	J		
89.					Sold (part)	7/31/13	J		
90.					Buy (add'l)	10/31/13	J		
91. Wilm Large-Cap Strategy Fund	B	Interest	L	T	Buy (add'l)	1/02/13	J		
92.					Buy (add'l)	1/27/13	J		
93.					Buy (add'l)	3/27/13	J		
94.					Buy (add'l)	5/29/13	J		
95.					Sold (part)	7/31/13	J		
96.					Sold (part)	10/31/13	J		
97. Wilm Prime MM Fund	A	Interest	J	T					

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

Part VII, Item 5, Exxon Common Stock, was incorrectly listed as "sold" rather than "sold (part)" in Part VII, Item 5, of my 2012 Financial Disclosure 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544