AO 10
Rev. 1/2014

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)	2. Court or Organization	3. Date of Report
Shapiro, Norma L.	EDPA, Philadelphia	05/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Senior Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2013 **to** 12/31/2013

7. Chambers or Office Address

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.	Life Trustee	Jewish Publication Society
2.	Delegate to ABA	National Association of Women Judges
3.	Member, Nominating Committee	National Association of Women Judges
4.	Member, Committee on Women in Prison	National Association of Women Judges
5.	Member, Committee on Women in the Profession	Pennsylvania Bar Association
6.	Member, Minority Bar Committee	Pennsylvania Bar Association
7.	Member, Leadership Development & Recruitment Committee	Pennsylvania Bar Association
8.	Member, Sandra Day O'Connor Award Committee	Philadelphia Bar Association
9.	Chair, Board of Directors	Violette De Mazia Foundation
10.	Consultant, Standing Committee on Federal Judicial Improvements	American Bar Association
11.	Member, 2013 John Marshall Award Selection Committee	American Bar Association
12.	Representative, Appellate Judges Education Institute, Board of Directors	American Bar Association
13.	Executrix	Estate [redacted] (See Part VIII)

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Shapiro, Norma L.	05/13/2014

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.	American Bar Association	02/06/2013-02/11/2013	Dallas, TX	Midyear Meeting and meeting of Appellate Judges Education Institute	Transportation, food & lodging.
2.	American Bar Association	04/19/2013-04/21/2012	Milwaukee, WI	Standing Committee on Federal Judicial Improvements Spring Meeting	Food & lodging.
3.	American Bar Association	08/07/2013-08/14/2013	San Francisco, CA	ABA Annual Meeting and meeting of Appellate Judges Education Institute	Transportation, food & lodging.
4.					

5.

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
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. Mellon Bank (Checking Account)		None	J	T					Not now interest bearing.
2. Firstrust Bank (Checking)	A	Interest	J	T					
3. Firstrust Bank (Savings)	A	Interest	M	T					
4. Stifel Nicholas General Money	A	Dividend	J	T					
5. Oppenheimer PA Municipal Bond	B	Dividend	K	T					
6. Vanguard Life Strategy Mod. Growth - IRA	C	Dividend	M	T	Sold (part)	01/31/13	J	A	
7. Vanguard Star Fund-IRA	C	Dividend	M	T					
8. Vanguard GNMA Fund Admiral IRA	C	Dividend	M	T	Sold (part)	01/31/13	K	A	
9. Unit Trust First Trust Unit [redacted]	B	Dividend			Sold	02/05/13	K	A	
10. First Trust Unit [redacted]	B	Dividend			Sold	04/09/13	K	A	
11. Unit Trust First Trust Unit [redacted]	B	Dividend	K	T					
12. Firstrust Int. Rate Hedge	A	Dividend	K	T	Buy	04/05/13	K		
13. Firstrust S. Ltd.	A	Dividend	K	T	Buy	02/13/13	K		
14.									
15.									
16.									
17.									

1. Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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

Additional Information.

Part 1 - Positions:
Numbers 1, 2, 5, 8 and 10 are non-profit organizations. I have no control over the expenditures of these organizations, although with effort I could ascertain their assets.

Number 9 (Violette de Mazia Foundation) is a 501(c)(3) charitable organization. I do vote on the expenditure of funds together with the other four Directors. I receive no compensation. The total assets of this organization at the end of 2013 were in the amount of approximately $8,409,589.

[redacted], died on November 27, 2007; [redacted] Will names me the Executrix and sole beneficiary of [redacted] estate. [redacted] assets, listed under Section VII, became assets of the Estate [redacted]; in 2008, they were transferred to a Tax Exempt Marital Trust and rolled over into my Vanguard IRA. All assets listed in Section VII which were in [redacted] name prior to [redacted] death were in the Estate [redacted] at year end and transferred to the Tax Exempt Marital Trust in 2008. Bank accounts that were previously joint accounts are now titled in my name only.

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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/ Norma L. Shapiro**

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