

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) ROTH, JANE R.	2. Court or Organization THIRD CIRCUIT COURT OF APPEALS	3. Date of Report 10/03/2013
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 01/01/2012 to 12/31/2012
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.		
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. New York City Bar Assn	Feb. 1-3	New York City	Moot Court	Transportation
2. Fordham Law School	Mar. 24-26	New York City	Moot Court	Transportation and Lodging
3. Emory Law School	Oct.6-8	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.	Wilmington Trust Co.	Loan	N
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			Sold	12/20/12	K	E	
6. Johnson & Johnson Common	B	Dividend	L	T					
7. Pepsico Common Stock	B	Dividend	L	T					
8. Proctor & Gamble Common	A	Dividend	J	T	Sold (part)	12/20/12	K	E	
9. Minnesota M&M Common (MMM)	B	Dividend	L	T					
10. Hewlett-Packard Common	A	Dividend	J	T					
11. Air Prod & Chem Common	B	Dividend	K	T					
12. WTC Funds									
13. -Ishares - Utilities	A	Dividend	K	T					
14. -Ishares - MSCI EAFE	C	Dividend	M	T					
15. -Ishares - Russell 2000	A	Dividend	K	T	Sold (part)	2/10/12	K	D	
16. -Ishares - S&P 500 Growth	B	Dividend	M	T					
17. -Ishares - S&P 500 Value	C	Dividend	M	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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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	(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. Neuberger-Berman Genesis Fund	A	Dividend	K	T	Sold (part)	1/24/12	K	D	
19.					Sold (part)	2/3/12	J	D	
20.					Sold (part)	2/8/12	K	B	
21. Vanguard MSCI EAFE	C	Dividend	L	T					
22. Vanguard MSCI Emerging Markets	D	Dividend	N	T					
23. Wilm. Prime Money Market	A	Interest	K	T					
24. Credit Suisse Comm Ret Fund		None			Sold (part)	11/13/12	K	A	
25.					Sold	11/30/12	K	A	
26. WilmLarge-CapFund	D	Interest	N	T					
27. Trust									
28. Municipal Bond Common Fund	B	Dividend	K	T					
29. M&T Corp. Common (formerly Wilm Trust)	B	Dividend	K	T					
30. WTC Common Funds	A	Dividend	J	T					
31. Wilm Prime Money Market	A	Interest	J	T					
32. Wilm Trust IRA									
33. William Blair Blue T.E. Fund		None	N	T	Sold (part)	10/17/12	N		
34. William Blair T.E. Fund		None	M	T	Sold (part)	10/17/12	L		

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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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35. Harbor Fund Internat'l	B	Interest	L	T					
36. Global Natural Resources	A	Interest	K	T	Buy (add'l)	5/24/12	K		
37. Vanguard Dividend Appreciation	D	Interest	N	T	Sold (part)	6/14/12	K		
38. Blackrock All-Cap Energy		None			Buy	5/24/12	J		
39.					Sold	8/14/12	J		
40. Wilmington U.S. Govt Fund W Class	A	Interest	M	T					
41. WTC Roth IRA									
42. Absolute Strategies Fund	A	Interest	K	T					
43. Fidelity Focused High Income	A	Interest	J	T	Buy	8/29/12	J		
44.					Buy (add'l)	10/26/12	J		
45. Ishares Barclays Tips Bond Fund	A	Interest	J	T	Buy (add'l)	1/05/12	J		
46. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Interest	J	T					
47. Ishares MSCI EAFE Growth	A	Interest			Buy (add'l)	8/29/12	J		
48.					Sold	10/26/12	J		
49.					Sold (part)	10/26/12	J		
50. Pimco High Yield	A	Interest	J	T	Buy (add'l)	1/06/12	J		
51.					Sold (part)	8/29/12	J		

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52.					Sold (part)	10/26/12	J		
53. Powershares DB Commodity		None	J	T	Buy (add'l)	1/05/12	J		
54.					Buy (add'l)	10/26/12	J		
55. SPDR Global Natural Resources	A	Interest	J	T	Buy	1/5/12	J		
56.					Sold (part)	8/29/12	J		
57.					Sold	10/26/12	J		
58. SPDR Dow Jones Intl Real Estate	A	Interest	J	T					
59.					Sold (part)	10/26/12	J		
60. Vanguard MSI EAFE	B	Interest	K	T	Sold (part)	1/5/12	J		
61.					Buy (add'l)	8/29/12	J		
62.					Buy (add'l)	10/26/12	J		
63. Vanguard Msci Emerging Markets	A	Interest	K	T	Sold (part)	1/5/12	J		
64.					Buy (add'l)	10/26/12	J		
65.					Buy (add'l)	8/29/12	J		
66. Vanguard Dividend Appreciation	A	Interest	J	T	Buy	3/1/12	J		
67.					Sold (part)	8/29/12	J		
68. Wilm Small-Cap Strategy Fund	A	Interest	J	T	Sold (part)	1/06/12	J		

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69.					Sold (part)	8/29/12	J		
70.					Sold (part)	10/26/12	J		
71. Wilm Large-Cap Strategy Fund	B	Interest	L	T	Sold (part)	1/05/12	J		
72.					Sold (part)	8/29/12	J		
73.					Sold (part)	10/26/12	J		
74. Wilm Prime MM Fund	A	Interest	J	T					

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

Part VI - Wells Fargo Mortgage paid off Nov. 2012.

Part VII- "WTC Common Funds" has been broken down to reflect the individual funds included in this category

Part VII - "William Blair" Fund, line 34, was misspelled in 2011 Report as "William Blake"

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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