

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) Rendell, Marjorie O.	2. Court or Organization USCA - 3CA - Philadelphia	3. Date of Report 06/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Active)	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 U.S. Court of Appeals 601 Market Street, Room 21613 Philadelphia, PA 19106-1598		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member, Board of Directors and Executive Committee	Kimmel Center for the Performing Arts
2. Member, Board of Overseers	School of Nursing, University of Pennsylvania
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. International Association of Defense Counsel	04/25/13-04/26/13	Chicago, IL	Panel for Corporate Counsel	Air, lodging, food
2. ABOTA Foundation	10/11/13-10/13/13	Austin, TX	Forum on Civic Education	Air, lodging, food
3. Duke University School of Law	02/25/13-02/26/13	Raleigh Durham, NC	Judging Moot Court	air, lodging, food
4. Tenth Anniversary Commemoration Committee	06/05/13-06/06/13	Pittsburgh, PA	Keynote Speaker	1/2 air, lodging, food
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.		
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. QUALIFIED									
2. Adams Harkness Small Cap	B	Dividend	K	T	Sold (part)	04/24/13	J	A	
3. Baron Growth	B	Dividend	K	T					
4. BlackRock Low Duration Bond	B	Dividend	M	T	Buy (add'l)	04/24/13	J		
5. DFA Emerging Mkts Core Equity	A	Dividend	K	T					
6. DFA Intl Small Cap Value	B	Dividend	K	T					
7. DFA Intl Value	B	Dividend	L	T					
8. DFA One Year Fixed	A	Dividend	M	T	Buy (add'l)	04/24/13	K		
9. DFA Global Real Estate Securities	B	Dividend	K	T					
10. DFA US Large Cap Value	B	Dividend	L	T	Sold (part)	04/24/13	J	B	
11. DFA U.S. Micro Cap	B	Dividend	K	T	Sold (part)	04/24/13	J	B	
12. DFA U.S. Small Cap Value	B	Dividend	L	T	Sold (part)	04/24/13	J	A	
13. Dodge & Cox Stock	A	Dividend	K	T	Sold (part)	04/24/13	J	A	
14. E.I.I. Global Property Inst.	A	Dividend	K	T					
15. Federated Gov. Ultrashort Duration	A	Dividend	M	T	Buy (add'l)	04/24/13	J		
16. First Eagle Overseas	B	Dividend	K	T					
17. Hotchkiss & Wiley Large Cap Value	A	Dividend	K	T	Sold (part)	04/24/13	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (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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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 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. Hotchkis & Wiley Mid Cap Value	A	Dividend	L	T	Sold (part)	04/24/13	J	C	
19. Ivy Mid Cap Growth	B	Dividend	K	T	Sold (part)	04/24/13	J	A	
20. Janus Fund	A	Dividend	K	T					
21. Janus Overseas Fund	B	Dividend	K	T					
22. Maingate MLP FD CL I	C	Dividend	L	T					
23. Mainstay Marketfield FD CL I	A	Dividend	K	T	Buy	11/01/13	K		
24. Metropolitan West Total Return	C	Dividend	M	T	Buy (add'l)	04/24/13	J		
25. Morgan Stanley Inst Emerging Markets	B	Dividend	K	T					
26. Morgan Stanley Inst International Equity	A	Dividend	L	T					
27. Royce Opportunity	C	Dividend	L	T	Sold (part)	04/24/13	K	A	
28. RS Global Natural Resources FD	A	Dividend	K	T	Buy (add'l)	07/24/13	J		
29. Schwab Adv Cash Reserve Prem		None	J	T					
30. Third Avenue Intl Value	A	Dividend	K	T					
31. Thornburg Intl Value	A	Dividend	K	T					
32. Turner Growth Fund	A	Dividend			Sold	11/04/13	K	D	
33. Westcore Int'l (Frontier) Small Cap	A	Dividend	K	T					
34. Westcore Mid Cap Value	A	Dividend	K	T	Sold (part)	04/24/13	J	B	

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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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. Westcore Midco Growth	D	Dividend	K	T					
36. William Blair International Growth	A	Dividend	K	T					
37. William Blair Lg Cap Growth	A	Dividend	K	T					
38. William Blair Intl Small Cap Growth	B	Dividend	K	T					
39. William Blair Mid Cap Growth	B	Dividend	K	T					
40. William Blair Small Cap Growth	C	Dividend	K	T					
41. PERSONAL									
42. Baron Growth Fund	A	Dividend	K	T					
43. DFA Emerging Markets Core Equity	A	Dividend	K	T	Buy (add'l)	09/26/13	J		
44. DFA Global Real Estate Securities	A	Dividend	K	T	Buy (add'l)	09/26/13	J		
45. DFA Short Term Muni Bond	A	Dividend	L	T	Buy (add'l)	09/26/13	K		
46. DFA Tax Managed Int'l Value	A	Dividend	L	T					
47. DFA Tax Managed US Marketwide Value	A	Dividend	K	T					
48. DFA Tax Managed US Targeted Value	B	Dividend	K	T					
49. DFA US Micro Cap	A	Dividend	J	T					
50. Dodge & Cox Stock	A	Dividend	J	T					
51. E.I.I Global Property Inst	A	Dividend	K	T	Buy (add'l)	09/26/13	J		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Federated Short Interm Muni	B	Dividend	L	T	Buy (add'l)	09/26/13	K		
53. First Eagle Overseas	B	Dividend	K	T	Buy (add'l)	09/26/13	J		
54. GlaxoSmithKline PLC	B	Dividend	K	T	Donated (part)				
55. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T					
56. Hotchkis & Wiley Mid Cap Value	A	Dividend	K	T					
57. Janus Fund	A	Dividend	K	T					
58. Janus Overseas Fund	B	Dividend	K	T	Buy (add'l)	09/26/13	J		
59. Maingate MLP FD	B	Dividend	K	T	Buy (add'l)	09/26/13	K		
60. Mainstay Marketfield FD I	A	Dividend	K	T	Buy	11/04/13	K		
61. Metropolitan West Total Return Bond	B	Dividend	L	T	Sold (part)	09/26/13	K		
62. Morgan Stanley Inst Int'l Equity	A	Dividend	K	T	Buy (add'l)	09/26/13	J		
63. Royce Opportunity Investment	C	Dividend	K	T					
64. RS Global Natural Resources Fund	A	Dividend	K	T	Buy (add'l)	09/26/13	J		
65. Schwab Advisor Premium Cash Reserve	A	Dividend	N	T					
66. Third Avenue Int'l Value Fund	A	Dividend	L	T	Buy (add'l)	09/26/13	J		
67. Thornburg International Value	A	Dividend	K	T	Buy (add'l)	09/26/13	J		
68. Thornburg Limited Term Muni	B	Dividend	L	T	Buy (add'l)	09/26/13	K		

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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)
69. Turner Large Cap Growth	A	Dividend			Sold	11/04/13	K	B	
70. Wal-Mart Stores, Inc.	A	Dividend			Donated				
71. Westcore Int'l Small Cap	B	Dividend	K	T	Buy (add'l)	09/26/13	J		
72. Westcore Mid-Cap Value	A	Dividend	K	T					
73. Westcore Midco Growth	D	Dividend	K	T					
74. William Blair Mid Cap Growth	B	Dividend	K	T	Buy (add'l)	09/26/13	J		
75. William Blair Small Cap Growth	C	Dividend	K	T					
76. William Blair Large Cap Growth	B	Dividend	K	T					
77. XXXXXXXXXX									
78. Schwab Advisor Premium Cash Reserve	A	Dividend	J	T					
79. Rental Property in Ocean City, NJ (Y)									

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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/ Marjorie O. Rendell

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