

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) MCKEE, THEODORE A.	2. Court or Organization U.S. COURT OF APPEALS FOR THE THIRD CIRCUIT	3. Date of Report 09/9/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 20614 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. Insert signature on last page.		

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. GENERAL PARTNER	PUJKEE ASSOCIATES; (see section viii for information)
2. ADVISORY BOARD	CITY YEAR OF GREATER PHILADELPHIA
3. TRUSTEE	TEMPLE UNIVERSITY
4. TRUSTEE	SYRACUSE UNIVERSITY
5. BOARD OF VISITORS	TEMPLE UNIVERSITY COLLEGE OF LAW
6. BOARD OF VISITORS (honorary member)	SYRACUSE UNIVERSITY COLLEGE OF LAW
7. BOARD OF DIRECTORS	VERA INSTITUTE OF JUSTICE

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	ADMINISTRATIVE OFFICE OF THE PENNSYLVANIA COURTS	\$12,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. united states court of appeals	January 17 through January 19	St. Thomas, virgin islands	Participate in the annual conference of the District Court	travel meals and lodging
2. united states court of appeals	March 14 through March 16	Washington DC	attend meeting of the judicial conference	travel meals and lodging
3. United States Court of appeals	may 4th and May 6	Philadelphia Pennsylvania	activities connected to our circuit conference	meals and lodging
4. ignited states courtS	June 5 through June 7	St. Louis Missouri	meeting of the criminal law committee	meals, lodging, and airfare

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5.	Ignited States Court, United States Court of Appeals	June 24	to Newark New Jersey	participate in dedication of atrium to a member of our court	travel
6.	United States Court of appeals	June 27	Pittsburgh Pennsylvania	participate in memorial service for deceased judge	travel
7.	United States courts	September 12 through September 14	Washington DC	attend meeting of the judicial conference	travel, meals, and the lodging
8.	United States courts	November 2 through November 3	Washington DC	attend seminar for circuit judges	travel, meals, and lodging
9.	United States courts	December 4 through December 6	Phoenix Arizona	attend meeting of the criminal Law committee	travel, meals, and lodging
10.	United States Department of Justice	January 28	Washington DC	attend meeting of the DOJ science advisor board	travel
11.	American Bar Association	January 29	Washington DC	attended meeting of the standards committee which I was a member of	travel
12.	New York University College of Law	April 1 through April 3	New York City	participate in selection of public interest Fellowship for the law school	travel, meals, and lodging
13.	Syracuse University College of Law	April 6th through April 7	Syracuse New York	participate in moot court program to give a lecture to first year law students	travel, meals, and lodging
14.	VERA Institute of Justice	April 14th	New York City	board meeting	travel
15.	American Constitution Society	May 31	Washington DC	participate in a panel discussion	travel
16.	VERA instutite of justice	June 9	New York City	board meeting	travel
17.	Vera Institute of Justice	September 19th	New York City	Board meeting	travel

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. CARDINAL HEALTH	A	Dividend	J	T					
2. *DR. HORTON COM STOCK * SEE EXPLANATION SECTION VIII	A	Dividend	J	T					
3. COCA COLA	A	Dividend	J	T					
4. DOMINI SOCIAL INDEX FUND	A	Dividend	J	T					
5. EDISON INTL CALIF * SEE SECTION VIII	A	Dividend	J	T					
6. EMBAQ CORP	A	Dividend	J	T					
7. EXCELON CORP *SEE SECTION VIII.	A	Dividend	J	T					
8. GENERAL ELECTRIC	A	Dividend	J	T					
9. IDEARC INC	A	Dividend	J	T					
10. JOHNSON & JOHNSON	A	Dividend	J	T					
11. LENAR CORP	A	Dividend	J	T					
12. MEMC ELECTR MATLS INC SEE EXPLANATION SECTION VIII	A	Dividend	J	T					
13. MERCK	A	Dividend	J	T					
14. REBOK	A	Dividend	J	T					
15. PAX WORLD SOCIAL FUND	A	Dividend	J	T					
16. PHARACEUTICAL PROD DEV	A	Dividend	J	T					
17. QUALCOM - SEE SECTION VIII	A	Dividend	J	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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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)

18. SSGA TUCKERMAN REIT MUTUAL FUND	A	Dividend	J	T					
19. STAPLES	A	Dividend	J	T					
20. VERIZON	A	Dividend	J	T					
21. WHOLE FOODS MARKET	A	Dividend	J	T					
22. BEN AND JERRY'S	A	Dividend	J	T					
23. DRESHNER RCM BROTECK FUND	A	Dividend	J	T					
24. CITIZENS CORE GROWTH FUND	A	Dividend	J	T					
25. CITIZENS EMERGING GROWTH FUND	A	Dividend	J	T					
26. CITIZENS GLOBAL EQUITY FUND	A	Dividend	J	T					
27. MFS EMERGING GROWTH FUND	A	Dividend	J	T					
28. CISCO	A	Dividend	J	T					
29. FPL GROUP INC	A	Dividend	J	T					
30. FLOUR CORP NEW DEL COM	A	Dividend	J	T					
31. GENERAL ELECTRIC	A	Dividend	J	T					
32. NORTHEAST UTILITIES	A	Dividend	J	T					
33. PNM RESOURCES INC	A	Dividend	J	T					
34. PG&E	A	Dividend	J	T					

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35. RBC BEARINGS	A	Dividend	J	T					
36. SOUTHERN ENERGY	A	Dividend	J	T					
37. WISCONSIN ENERGY	A	Dividend	J	T					
38. WASHINGTON MUTUAL FUND	A	Dividend	J	T					
39. HENRY SCHEIN STOCK	A	Dividend	J	T					
40. AMERICAN WASH MUTUAL AWSHX	A	Dividend	J	T					
41. EURO PACIFIC FUND	A	Dividend	J	T					
42. WISCONSIN ENERGY	A	Dividend	J	T					
43. FRANKLIN FLTG RAGE, FCRX	A	Dividend	J	T					
44. CALVERT INCOME FUND	A	Dividend	J	T					
45. AMERICAN WASHINGTON MUTUAL FUND	A	Dividend	J	T					
46. CENTURY TELE INC - See Section VIII	A	Dividend	J	T					
47. ALIANT ENERGY See Section VII	A	Dividend	J	T					
48. YUM BRANDS	A	Dividend	J	T					
49. PAX WORLD SOCIAL FUND	A	Dividend	J	T					
50. GFACX-AMERICAN GROWTH	A	Dividend	J	T					
51. PROCTOR & GAMBLE	A	Dividend	J	T					

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52. WISCONSIN ENERGY	A	Dividend	J	T					
53. JOHN HANCOCK MUTUAL FUND (JCVCX)	A	Dividend	J	T					
54. DREYFUS FUND	A	Dividend	J	T					
55. BLACKROCK INDUSTRIES (BISIX)	A	Dividend	J	T					
56. UNITED PARCEL SVC CL B	A	Dividend			Closed	4/14/11	J		
57. YAHOO INC	A	Dividend			Closed	2/18/11	J		
58. DARDEN RESTAURANTS	A	Dividend			Closed	1/21/11	J		
59. NEXTERA ENERGY SHS	A	Dividend			Closed	4/14/11	J		
60. FIRST SOLAR INC	A	Dividend			Closed	10/13/11	J		
61. EXXON MOBILE	A	Dividend	J	T					
62. General Electric	A	Dividend	J	T	Buy	10/13/11	J		
63. sempra energy	A	Dividend	J	T	Buy	10/13/11	J		
64. Express Scripts	A	Dividend			Closed	6/15/11	J	A	
65. Ehealth	A	Dividend	J	T	Buy	6/10/11	J		
66. Eli Lilly	A	Dividend	J	T	Buy	6/10/11	J		
67. american water works	A	Distribution	J	T	Buy (add'l)	4/19/11	J		
68. Duke Energy	A	Dividend	J	T	Closed	4/19/11	J	B	

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69. nextera	A	Dividend	J	T	Closed	4/19/11	J	B	
70. PPL	A	Dividend			Closed	4/19/11	J	B	
71. UNITED PARCEL SVC	A	Dividend			Closed	4/19/11	J	B	
72. AMERICAN WATER WORKS	A	Dividend	J	T	Buy (add'l)		J		
73. FOREST OIL CORP NEW	A	Dividend	J	T	Open	4/19/11	J		
74. EXPRESS SCRIPTS	A	Dividend			Closed	6/10/11	J	A	
75. ELI LILLY	A	Dividend	J	T	Buy	6/10/11	J		
76. EHEALTH	A	Dividend	J	T	Buy (add'l)	6/10/11			
77. ALLIANT	A	Dividend			Closed	10/13/11	J	A	
78. FIRS SOLAR	A	Dividend			Closed	10/13/11	J	A	
79. FOREST OIL	A	Dividend	J	T	Buy	10/13/11	J		
80. GENERAL ELECTRIC	A	Dividend	J	T	Buy (add'l)	10/13/11	J		
81. SEMPRA ENERGY	A	Dividend	J	T	Buy (add'l)		J		
82. APPLE (AAPL) STOCK	A	Dividend	J	T	Buy	3/25/11	J		
83. FURIEX PHARMA INC (FURX)	A	Dividend			Closed	6/3/11	J	A	
84. STAPLES	A	Dividend	J	T	Sold (part)	6/3/11	J	A	
85. STAPLES	A	Distribution	J	T	Sold (part)	6/24/11	J	A	

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86. CARDINAL HEALTH	A	Dividend	J	T	Buy (add'l)	6/24/11	J		
87. CISCO	A	Dividend	J	T	Sold (part)	6/30/11	J	A	
88. APPLE	A	Dividend	J	T	Buy (add'l)	6/30/11	J		
89. PAX WORLD BALANCED FUND	A	Dividend	J	T	Buy (add'l)	7/8/11	J		
90. SPDR FINANCIAL SHARES (XLF)	A	Dividend			Closed	7/26/11	J	A	
91. APPLE	A	Dividend	J	T	Buy (add'l)	7/26/11	J		
92. APPLE	A	Dividend	J	T	Buy (add'l)	10/03/11	J		

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

1. This year, as in all previous years I have listed an interest in "Pujkee Associates" under Section I. As previously explained, that is an informal family partnership consisting [REDACTED]. It does not, and never has, made a profit nor was it ever intended to function as a profitable enterprise. [REDACTED] has since quit claimed [REDACTED] interest in favor of [REDACTED].
2. First Energy, line 10; section VII. Upon reviewing prior statements from [REDACTED] IRA, I realized that First Energy was closed on 12/9/2010 and should have appeared on the report for that period. The gain upon market sale was Code A.
3. MEMC ELECTRIC; LINE 12, SECTION VII. Upon reviewing prior statements from [REDACTED] IRA, I realized that First Energy was closed on 8/13/2008 and should have appeared on the report for that period. The gain upon market sale was Code A.
4. QUALCOM; LINE 18 SECTION VII Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for "NY Energy Corp that appeared in her brokerage statement on my 2010 and 2009 FDR. Those transactions should actually have been "NV Energy, and not "NY Energy." The information relevant to the transactions for that security is otherwise accurately reported.
5. Adobe; line 63 Section VII; Upon reviewing prior statements from [REDACTED] IRA, I realized that Adobe was closed on 3/5/2010 and should have been reported for that period. the gain upon was Code A.
6. Line 5, Section VII; Edison Intl. : Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for this security were erroneously reported on my 201 FDR; the position was closed on May 5, 2008 by Market Sale for Code A.
7. line 30 Section VII; DPL Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for 2010; I realized that DPL was closed on 3/5/2010 by Market Sale for Code A and that transaction should have been listed to show that it was closed..
8. Line 31, Section VII. Energy East Corp. Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for This security I realized it was closed by Market Sale on January 16, 2007 and that should have been closed on the 2007 FDR and deleted from subsequent reports.
9. Line 35; Pinnacle West Section VII. Energy East Corp. Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for This security was closed by Market Sale on November 18, 1008 and should have been closed on the respective FDR report and deleted from subsequent reports.
10. Line 51, Century, Tel Section VI. Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for This security was closed on November 13, 2009 by Market sale for Code A and should have been closed on the respective FDR and deleted from subsequent reports.
11. Line 52. Alliant Energy, Section VII; Upon reviewing prior statements from [REDACTED] IRA, I realized that I have previously reported transactions for This security was closed on October 12, 2006 by Market sale for Code A and should have been closed on the respective FDR and deleted from subsequent reports.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MCKEE, THEODORE A.

Date of Report

09/9/2012

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/ **THEODORE A. MCKEE**

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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