

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 5/3/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
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	Rendell Center for Civics & Civic Engagement
2.	President	Rendell Center for Civics & Civic Engagement
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.)*

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Administrative Office of PA Courts - Salary
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. Rendell Center	12/6/18-12/8/18	Pittsburgh, PA	Citizenship Challenge & Event with Justice Sotomayor	Airfare & Hotel
2.				
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.)*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. QUALIFIED (H)									
2. AIP Multi Strategy Fund	B	Dividend	M	T					
3. BlackRock Low Duration Bond	C	Dividend	M	T	Buy (add'l)	01/26/18	K		
4. DFA Emerging Mkts Core Equity	B	Dividend	L	T	Sold (part)	01/26/18	K	D	
5. DFA Intl Small Cap Growth	B	Dividend	K	T					
6. DFA Intl Small Cap Value	C	Dividend	K	T	Sold (part)	01/26/18	K	D	
7. DFA Intl Value	D	Dividend	L	T					
8. DFA International Large Cap Growth	B	Dividend	L	T	Sold (part)	01/26/18	J	B	
9. DFA One Year Fixed	C	Dividend	M	T	Buy (add'l)	01/26/18	K		
10. DFA Global Real Estate Securities	C	Dividend	L	T					
11. DFA US Large Cap Value	D	Dividend	M	T	Sold (part)	01/26/18	J	B	
12. DFA U.S. Micro Cap	B	Dividend	K	T					
13. DFA U.S. Small Cap Value	C	Dividend	K	T					
14. Dodge & Cox Stock	D	Dividend	M	T	Buy (add'l)	12/20/18	L		
15. First Eagle Overseas	C	Dividend	L	T	Buy (add'l)	01/26/18	K		
16. Hotchkis & Wiley Mid Cap Value	B	Dividend	L	T	Buy (add'l)	04/17/18	K		
17. Ivy Mid Cap Growth	D	Dividend	M	T	Sold (part)	07/27/18	J	B	

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

18. Maingate MLP FD CL I	D	Dividend			Sold	12/20/18	L		
19. Metropolitan West Total Return	C	Dividend	M	T					
20. Morgan Stanley Inst Emerging Markets	B	Dividend	L	T					
21. Morgan Stanley Inst International Equity	D	Dividend	L	T					
22. Royce Opportunity	C	Dividend	K	T	Sold (part)	01/26/18	K	B	
23. Victory Global Natural Resources		None			Sold	04/17/18	K		
24. Schwab Adv Cash Reserve Prem	A	Dividend	K	T					
25. Segall Bryant & Hamilton Small Cap	C	Dividend	K	T					See Section VIII
26. Segall Bryant & Hamilton Mid Cap Value Dividend	D	Dividend	L	T	Buy (add'l)	04/17/18	K		See Section VIII
27. William Blair Lg Cap Growth	E	Dividend	M	T	Sold (part)	01/26/18	K	E	
28. William Blair Small Cap Growth	D	Dividend	K	T					
29. DFA US Small Cap Growth	B	Dividend	K	T					
30. DFA Short Term Government Port	C	Dividend	M	T	Buy (add'l)	01/26/18	L		
31. PERSONAL (H)									
32. DFA Emerging Markets Core Equity	B	Dividend	L	T	Buy (add'l)	07/27/18	J		
33. DFA Global Real Estate Securities	C	Dividend	L	T					
34. DFA Intl Large Cap Growth	B	Dividend	L	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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35. DFA Intl Small Cap Value	A	Dividend			Sold	12/11/18	K		
36. DFA Short Term Muni Bond	C	Dividend			Buy (add'l)	01/26/18	K		
37.					Buy (add'l)	07/27/18	K		
38.					Sold	12/14/18	N		
39. DFA Tax Managed Int'l Value	C	Dividend	L	T					
40. DFA Tax Managed US Marketwide Value	D	Dividend	M	T					
41. DFA Tax Managed US Targeted Value	B	Dividend	K	T					
42. DFA US Micro Cap	B	Dividend	K	T					
43. Dodge & Cox Stock	D	Dividend	M	T	Buy (add'l)	07/27/18	J		
44. First Eagle Overseas	B	Dividend			Buy (add'l)	07/27/18	K		
45.					Sold	12/14/18	L		
46. Hotchkis & Wiley Mid Cap Value	B	Dividend	L	T	Buy (add'l)	04/17/18	J		
47.					Buy (add'l)	07/27/18	J		
48. iShares Core MSCI EAFE ETF	B	Dividend	M	T	Buy	12/10/18	K		
49.					Buy (add'l)	12/14/18	L		
50. iShares MSCI EAFE Small Cap Index	A	Dividend	L	T	Buy	12/11/18	L		
51. Ivy Mid Cap Growth	D	Dividend	L	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
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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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52. Maingate MLP FD	C	Dividend			Buy (add'l)	07/27/18	J		
53.					Sold	12/14/18	L		
54. Metropolitan West Total Return Bond	D	Dividend			Buy (add'l)	01/26/18	K		
55.					Sold	12/14/18	N		
56. Morgan Stanley Inst. Emerging Markets	B	Dividend	L	T					
57. Morgan Stanley Inst Int'l Equity	A	Dividend			Sold	12/10/18	K	B	
58. Royce Opportunity Investment	D	Dividend	L	T					
59. Victory Global Natural Resources Fund		None			Sold	04/17/18	K	B	
60. Schwab Advisor Premium Cash Reserve	A	Dividend	N	T					
61. Schwab Government Money Market	A	Dividend	O	T					
62. Thornburg Limited Term Muni	D	Dividend			Buy (add'l)	07/27/18	K		
63.					Sold	12/14/18	N		
64. Segall Bryant & Hamilton Int'l Small Cap	C	Dividend	K	T					See Section VIII
65. Segall Bryant & Hamilton Mid-Cap Value Dividend	D	Dividend	L	T	Buy (add'l)	04/17/18	J		See Section VIII
66.					Buy (add'l)	07/27/18	J		
67. William Blair Small Cap Growth	D	Dividend	L	T					
68. William Blair Large Cap Growth	E	Dividend	M	T					

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69. DFA US Small Cap Growth	B	Dividend	K	T					
70. DFA Intl Small Cap Growth	A	Dividend			Sold	12/11/18	K		
71. Global Net Lease Inc	C	Dividend	K	T					
72. Ventas Inc	A	Dividend	J	T					
73. Vereit Inc. Com	D	Dividend	L	T					

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

Line 25- Westcore Small Cap Value is now Segall Bryant & Hamilton Small Cap Value

Line 26- Westcore Mid Cap Value is now Segall Bryant & Hamilton Mid Cap Value

Line 64- Westcore Small Cap Value is now Segall Bryant & Hamilton Small Cap Value

Line 65- Westcore Mid Cap Value is now Segall Bryant & Hamilton Mid Cap Value

Line 75- We removed the Schwab Premium Money Market in the Joint account from the report because it had a value less than \$1,000 and did not exceed the income threshold of \$200.

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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