

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 8/2/2018
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 01/01/2017 to 12/31/2017
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.)*

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. 2017	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Constitution Center	8/3/17 to 8/4/17	Concord New Hampshire	Keynote Teacher Institute	Airfare & Hotel
2. Rendell Center	9/20/17 to 9/21/17	Washington D.C.	Symposium on Civic Education	Train & Hotel
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. Leberthal Lisanti Small Cap Growth Fund		None			Sold	04/28/17	K	D	
3. AIP Multi Strategy Fund	D	Dividend	M	T					
4. Baron Growth		None			Sold	01/31/17	K	D	
5. BlackRock Low Duration Bond	C	Dividend	M	T	Buy (add'l)	01/31/17	J		
6.					Buy (add'l)	03/14/17	K		
7. DFA Emerging Mkts Core Equity	B	Dividend	M	T	Buy (add'l)	03/14/17	K		
8. DFA Intl Small Cap Growth	B	Dividend	K	T	Buy	07/20/17	K		
9. DFA Intl Small Cap Value	D	Dividend	L	T	Sold (part)	01/31/17	J		
10.					Buy (add'l)	03/14/17	J		
11. DFA Intl Value	C	Dividend	M	T	Buy (add'l)	03/14/17	K		
12. DFA International Large Cap Growth	B	Dividend	L	T	Buy (add'l)	03/14/17	K		
13. DFA One Year Fixed	B	Dividend	M	T	Buy (add'l)	01/31/17	J		
14.					Buy (add'l)	03/14/17	K		
15. DFA Global Real Estate Securities	C	Dividend	L	T	Buy (add'l)	01/20/17	K		
16.					Buy (add'l)	03/14/17	J		
17. DFA US Large Cap Value	D	Dividend	M	T	Buy (add'l)	01/31/17	K		

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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	(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.					Buy (add'l)	03/14/17	K		
19. DFA U.S. Micro Cap	B	Dividend	K	T					
20. DFA U.S. Small Cap Value	C	Dividend	L	T	Buy (add'l)	03/14/17	J		
21. Dodge & Cox Stock	D	Dividend	M	T	Buy (add'l)	01/31/17	L		
22.					Buy (add'l)	03/14/17	K		
23. E.I.I. Global Property Inst.		None			Sold	01/19/17	K		
24. Federated Gov. Ultrashort Duration	A	Dividend			Sold	07/18/17	M		
25. First Eagle Overseas	C	Dividend	L	T	Buy (add'l)	03/14/17	K		
26. Hotchkis & Wiley Large Cap Value		None			Sold	01/31/17	K	D	
27. Hotchkis & Wiley Mid Cap Value	C	Dividend	L	T	Sold (part)	01/31/17	K	D	
28.					Buy (add'l)	03/14/17	K		
29. Ivy Mid Cap Growth	D	Dividend	M	T	Buy (add'l)	01/31/17	K		
30.					Buy (add'l)	03/14/17	K		
31.					Buy (add'l)	07/20/17	J		
32. Janus Fund		None			Sold	01/31/17	L	D	
33. Maingate MLP FD CL I	D	Dividend	L	T	Buy (add'l)	03/14/17	K		
34. Metropolitan West Total Return	C	Dividend	M	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. Morgan Stanley Inst Emerging Markets	A	Dividend	L	T					
36. Morgan Stanley Inst International Equity	B	Dividend	L	T					
37. Royce Opportunity	D	Dividend	L	T	Buy (add'l)	03/14/17	J		
38. Victory Global Natural Resources Cl Y		None	K	T	Buy (add'l)	04/28/17	J		
39. Schwab Adv Cash Reserve Prem	A	Dividend	M	T					
40. Westcore Int'l (Frontier) Small Cap	A	Dividend	K	T					
41. Westcore Mid Cap Value Dividend	C	Dividend	L	T					
42. William Blair International Growth		None			Sold	07/27/17	L	E	
43. William Blair Lg Cap Growth	B	Dividend	M	T	Buy (add'l)	04/28/17	J		
44.					Buy (add'l)	07/20/17	K		
45.					Buy (add'l)	07/27/17	L		
46. William Blair Intl Small Cap Growth		None			Sold	07/20/17	K	D	
47.					Buy (add'l)	03/14/17	J		
48. William Blair Mid Cap Growth		None			Sold	07/20/17	L		
49. William Blair Small Cap Growth	D	Dividend	K	T	Buy (add'l)	04/28/17	K		
50. DFA US Small Cap Growth	A	Dividend	K	T	Buy	01/31/17	K		
51.					Buy (add'l)	04/28/17	J		

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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	
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52. DFA Short Term Government Port	A	Dividend	M	T	Buy	07/18/17	M		
53. PERSONAL (H)									
54. Baron Growth Fund		None			Sold	01/31/17	K	B	
55. DFA Emerging Markets Core Equity	B	Dividend	L	T	Donated (part)				
56. DFA Global Real Estate Securities	B	Dividend	L	T	Buy (add'l)	01/20/17	K		
57. DFA Intl Large Cap Growth	B	Dividend	L	T					
58. DFA Intl Small Cap Value	C	Dividend	L	T					
59. DFA Short Term Muni Bond	B	Dividend	M	T	Buy (add'l)	07/18/17	L		
60. DFA Tax Managed Int'l Value	C	Dividend	M	T					
61. DFA Tax Managed US Marketwide Value	D	Dividend	M	T	Buy (add'l)	01/31/17	K		
62. DFA Tax Managed US Targeted Value	B	Dividend	K	T	Donated (part)				
63.					Donated (part)				
64.					Donated (part)				
65. DFA US Micro Cap	B	Dividend	K	T					
66. Dodge & Cox Stock	D	Dividend	M	T	Buy (add'l)	01/31/17	L		
67.					Donated (part)				
68. E.L.I Global Property Inst		None			Sold	01/19/17	K		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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69. Federated Short Interm Muni	B	Dividend			Sold	07/18/17	M		
70. First Eagle Overseas	B	Dividend	K	T					
71. Hotchkis & Wiley Large Cap Value		None			Sold	01/31/17	K	D	
72. Hotchkis & Wiley Mid Cap Value	C	Dividend	L	T	Sold (part)	01/31/17	K	D	
73. Ivy Mid Cap Growth	D	Dividend	L	T	Buy (add'l)	01/31/17	K		
74.					Buy (add'l)	07/20/17	J		
75. Janus Fund		None			Sold	01/31/17	L	D	
76. Maingate MLP FD	C	Dividend	L	T					
77. Metropolitan West Total Return Bond	C	Dividend	M	T	Buy (add'l)	01/31/17	J		
78.					Buy (add'l)	07/18/17	L		
79. Morgan Stanley Inst. Emerging Markets	A	Dividend	L	T					
80. Morgan Stanley Inst Int'l Equity	B	Dividend	L	T					
81. Royce Opportunity Investment	D	Dividend	L	T					
82. Victory Global Natural Resources Fund		None	K	T					
83. Schwab Advisor Premium Cash Reserve	A	Dividend	O	T					
84. Thornburg Limited Term Muni	C	Dividend	M	T	Buy (add'l)	01/31/17	J		
85.					Buy (add'l)	07/18/17	L		

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86. Westcore Int'l Small Cap	A	Dividend	K	T					
87. Westcore Mid-Cap Value Dividend	C	Dividend	L	T					
88. William Blair Int'l Growth Fund (I)		None			Sold	07/27/17	L	D	
89. William Blair Int'l Small Cap Growth (I)		None			Sold	07/20/17	K	C	
90. William Blair Mid Cap Growth		None			Sold	07/20/17	L	D	
91. William Blair Small Cap Growth	D	Dividend	L	T					
92. William Blair Large Cap Growth	B	Dividend	M	T	Buy (add'l)	07/20/17	K		
93.					Buy (add'l)	07/27/17	L		
94. Rental Property in Boynton Beach, FL	D	Rent			Sold	03/29/17	L		
95. DFA US Small Cap Growth	A	Dividend	K	T	Buy	01/31/17	K		
96. DFA Intl Small Cap Growth	A	Dividend	K	T	Buy	01/31/17	K		
97. Global Net Lease Inc (X)	B	Dividend	K	T					
98. Ventas Inc (X)	A	Dividend	J	T					
99. Vereit Inc. Com (X)	C	Dividend	L	T					
100. JOINT (H)									
101. Schwab Advisor Premium Cash Reserve		None	J	T					

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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