

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) Aldisert, Ruggero J.	2. Court or Organization Third Circuit	3. Date of Report 07/09/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 120 Cremona Drive Suite "D" Santa Barbara CA 93117-5511	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. EmeritusTrustee	University of Pittsburgh
2. Board of Visitors, Law School	University of Pittsburgh
3.	
4.	
5.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 02/01/2011	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$5,048.48
2. 08/02/2011	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$453.73
3. 03/08/2011	AuthorHouse (Publications Royalties)	\$399.79
4. 06/07/2011	AuthorHouse (Publications Royalties)	\$344.90
5. 09/07/2011	AuthorHouse (Publications Royalties)	\$453.73
6. 12/06/2011	AuthorHouse (Publications Royalties)	\$520.17
7. 03/04/2011	Thompson Reuters (Publications Royalties)	\$518.16
8. 06/21/2011	Yao Enterprises (Publications Royalties)	\$104.02
9. 11/13/2011	Yao Enterprises (Publications Royalties)	\$700.00

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.				
2.				

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3.

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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. Santa Barbara Bank & Trust Co.	A	Interest	K	T					
2. Bank of America	A	Interest	L	T					
3.									
4. Mid Atlantic Fin. Mgt.	B	Dividend	O	T					
5. ---Davis New York Venture	A	Dividend	J	T					
6. ---Alliance Bernstein Balanced	A	Dividend	J	T					
7. ---Growth Fund America Inc.	A	Dividend	J	T					
8. ---Pimco Global Multi-Asset	A	Dividend	J	T					
9. ---Columbia Acorn, class C	A	Dividend	J	T					
10. ---Invesco VanKampen Comstock, Class C	A	Dividend	J	T					
11. ---PIMCO Commodity Real Return	A	Dividend	J	T					
12.									
13.									
14.									
15.									
16.									
17.									

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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.)

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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				
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18. MUTUAL FUNDS									
19. Gabelli Asset	A	Dividend	K	T					
20. Davis New York Venture	A	Dividend	K	T					
21. Columbia Acorn Fund Cl A	A	Dividend	K	T					
22. American Funds: Growth Fund of America	A	Dividend	K	T					
23. American Funds: Tax Exempt CA "F"	A	Interest	K	T					
24. Royce Total Return	A	Dividend	J	T					
25. First Eagle Overseas Fund	A	Dividend	K	T					
26. Alliance Bernstein Muni Income	A	Interest			Sold	02/20/11	K		
27. American Funds Fundamental Invs Inc F-1	A	Dividend	K	T					
28. Invesco Van Kampen Harbor	A	Dividend			Sold	09/22/11	J	C	
29. Invesco VanKampen Comstock A	A	Dividend	K	T					
30. Invesco Van Kampen High Yield Muni CA	A	Interest	L	T					
31. Invesco Van Kampen Inter-Term (formerly Trdm) Muni	A	Interest	K	T					
32. PIMCO Unconstrained Bond A	A	Interest	K	T					
33. Alger Fund-Capital Appreciaton	A	Dividend	J	T					
34. First Eagle Fund of America	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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35. IVY Science & Tech Fd.	A	Dividend	J	T					
36. Invesco Van Kampen Small Cap F.	A	Dividend			Sold	02/20/11	K	C	
37. Alliance Bernstein Hi-Income Muni Port A	A	Interest	J	T	Buy	09/22/11	J		
38. PIMCO Investment Grade Bond Cl A	A	Interest	J	T	Buy	08/17/11	J		
39. Invesco Van Kamden Convertible Securities Fund	A	Dividend	J	T	Buy	02/20/11	J		
40. Templeton Global Bond Class A	A	Interest	J	T	Buy	08/01/11	J		
41. Franklin Floating Rate Daily access, Class A	A	Interest	J	T	Buy	08/01/11	J		
42.									
43. COMMON STOCKS									
44. Johnson & Johnson	A	Dividend	K	T					
45. Bank of New York Mellon Corp	A	Dividend	K	T					
46. General Electric	A	Dividend	K	T					
47. Apple. Inc.		None	J	T					
48.									
49. INVESTMENT CLUB Mission Impossible Partners	C	Dividend	L	T					
50. ---Apple, Inc			J	T					
51. --Caterpillar Inc	A	Dividend	J						

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52. ---Cliffs Nat Res Inc		None			Sold	02/12/11	J		
53. ---Chevron Corp New	A	Dividend			Sold	05/10/11	J		
54. ---Costco Wholesale Corp	A	Dividend	J						
55. ---Deckers Outdoor	A	Dividend			Sold	05/10/11	J		
56. ---Du Pont E I De Nemours	A	Dividend			Sold	06/11/11	J		
57. ---First TR Exchange (FDN)	A	Dividend			Sold	06/11/11	J		
58. ---Market Vectors (SSO)	A	Dividend			Sold	10/11/11	J		
59. ---Newmont Ming Corp	A	Dividend			Sold	08/15/11	J		
60. ---Proshares Ultra S&P 500	A	Dividend			Sold	10/02/11	J		
61. ---Rio Tinto ADR	A	Dividend			Sold	10/11/11	J		
62. ---SPDR Gold Tr Gold	A	Dividend			Sold	08/10/11	J		
63. ---SPDR Ser Tr KBW	A	Dividend			Sold	03/10/11	J		
64. --Cummins Inc.	A	Dividend	J		Buy	11/09/11	J		
65. ---SPDR Gold Tr Gold SHS		None	J		Buy	08/10/11	J		
66. ---Coca Cola Co	A	Dividend	J		Buy	06/11/11	J		
67. --Marathon Oil Corp	A	Dividend	J		Buy	10/11/11	J		
68. ---Microsoft Corp	A	Dividend	J		Buy	10/11/11	J		

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|--|--|--|--|--|-------------------------|
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| 2. Value Codes
(See Columns C1 and D3) | Q = Appraisal
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| 3. Value Method Codes
(See Column C2) | | | | | |

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69.									
70.									
71.									
72.									
73. MONEY MARKET FUNDS									
74. Fidelity Muni Money Market	A	Interest	L	T					
75. FedFund Select Shares	A	Interest	J	T					
76. Cantela & Co. Priviledged Access Gold Amt.		None			Open	01/3/11	J		
77.					Redeemed	01/30/11	J		
78.									
79. LIFE INSURANCE POLICIES									
80. Phoenix Whole Life	A	Dividend	J	T					
81. Transamerica Life Companies Whole Life	A	Dividend	K	T					
82. Penn Mutuial Whole Life	A	Dividend	J	T					
83.									

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(See Columns B1 and D4)

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(See Columns C1 and D3)

Q = Appraisal
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3. Value Method Codes
(See Column C2)

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M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
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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.



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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