

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) MCKEE, THEODORE A.	2. Court or Organization U.S. COURT OF APPEALS FOR THE THIRD CIRCUIT	3. Date of Report 11/16/2014
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	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☒ Amended Report		
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.		

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. Director	Vera Institute of Justice
6. BOARD OF VISITORS	TEMPLE UNIVERSITY COLLEGE OF LAW
7. BOARD OF VISITORS (honorary member)	SYRACUSE UNIVERSITY COLLEGE OF LAW

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

MCKEE, THEODORE A.

Date of Report

11/16/2014

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. 2013	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. 2013	JOINT COMMISSION (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. Pennsylvania Bar Association	1/30/2013 to 2/3/2013	St. Maarten	participate on panel for PBA Midyear meeting	Travel and lodging
2. PLI	3/20/13	New York City	Panel on Appellate Advocacy	Travel
3. Syracuse University College of law	3/26/13 to 3/27/13	Syracuse New York	Moot Court and lectures	travel and lodging
4. University of California at Irvine	4/4/2013	Santa Ana California	Moot Court	travel and lodging
5. American Constitution Society	6/13/2013 to 14	Washington, D.C.	Participate in Annual conference	travel and lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

MCKEE, THEODORE A.

Date of Report

11/16/2014

6.	Vera Institute of Justice	9/23-24	New York, New York	Board Meeting	travel
7.	American Conference Institute	12/10/2013 to 12/11/2013	New York, New York	Panel participant - medical device litigation	travel lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

MCKEE, THEODORE A.

Date of Report

11/16/2014

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

MCKEE, THEODORE A.

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11/16/2014

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. COCA COLA	A	Dividend	J	T					
3. COLGATE PALMOLIVE (SEE SECTION VIII)	A	Dividend	J	T					
4. DOMINI SOCIAL INDEX FUND	A	Dividend	J	T					
5. SEE SECTION VIII									
6. SEE SECTION VIII									
7. JOHNSON & JOHNSON	A	Dividend	J	T					
8. SEE SECTION VIII									
9. MERCK	A	Dividend	J	T					
10. PAX WORLD SOCIAL FUND	A	Dividend	J	T					
11. VERIZON	A	Dividend	J	T					
12. WHOLE FOODS MARKET	A	Dividend	J	T					
13. CISCO	A	Dividend	J	T					
14. SEE SECTION VIII									
15. HENRY SCHEIN STOCK	A	Dividend	J	T					
16. FRANKLIN FLTG RAGE, FCRX	A	Dividend	J	T					
17. CALVERT INCOME FUND	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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11/16/2014

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18. SEE SECTION VIII									
19. NSTAR COM SEE SECTION VIII	A	Dividend			Closed	8/6/2010	J	A	
20. PAX WORLD SOCIAL FUND	A	Dividend	J	T					
21. GFACX-AMERICAN GROWTH	A	Dividend	J	T					
22. PROCTOR & GAMBLE	A	Dividend	J	T					
23. JOHN HANCOCK MUTUAL FUND (JCVCX)	A	Dividend	J	T					
24. DREYFUS FUND - STRUCTURED MID CAP FD CL C	A	Dividend	J	T					
25. HERMAN MILLER COMMON STOCK (SEE SECTION VIII)	A	Dividend			Closed	10/15/13	J		
26. LIBERTY MEDIA HLDG (SEE SECTION VIII)	A	Dividend			Closed	03/05/10	J		
27. TUPPERWARE BRANDS CORP (SEE SECTION VIII)	A	Dividend	J	T	Buy	03/05/10	J		
28. MIDDLESEX WATER CO. (MSEX)	A	Dividend			Buy	2/12/13	J	A	
29. MIDDLESEX WATER (MSEX)	A	Dividend			Closed	06/21/13			
30. CARLISLE COMPANIES (CSL) SEE SECTION VIII	A	Dividend	J	T	Buy	8/1/2012	J		
31. CARLISLE COMPANIES (CSL) SEE SECTION VIII	A	Dividend	J	T	Buy (add'l)	9/16/12	J		
32. CARLISLE COMPANIES (CSL)	A	Dividend	J	T	Buy (add'l)	5/21/13	J		
33. AMERICAN BOND FUND (ABNDX) SEE SECTION VIII	A	Dividend	J	T	Buy	11/14/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

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11/16/2014

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34. AMERICAN CAPITAL WORLD GROWTH FUND (CWGIX) SEE SECTION VIII	A	Dividend	J	T	Buy	11/14/12	J		
35. AMERICAN BALANCED FUND (ABALX)	A	Dividend	J	T	Buy	10/15/12	J		
36. AMERICAN BOND FUND (ABNDX)	A	Distribution	J	T	Buy (add'l)	10/15/12	J		
37. AMERICAN NEW PERSPECTIVE FUND ANWPX	A	Dividend	J	T	Buy	10/15/12	J		
38. SENTINEL FUNDS SS CORE A	A	Dividend	J	T					
39. SENTINEL FUNDS SSMIDCAP A	A	Dividend	J	T					
40. MONEY MARKET ACCOUNT - PNC BANK (SEE SECTION VIII)	A	Int./Div.	M	T					
41. PAX WORLD BALANCED FUND (PAXWX) SEE SECTION VIII	A	Dividend	J	T	Buy (add'l)	8/27/13	J		
42. PAX WORLD BALANCED FUND (PAXWX) SEE SECTION VIII	A	Dividend	J	T	Buy (add'l)	10/08/13	J		
43. APPLE (AAPL)	A	Dividend	J	T	Sold (part)	5/16/13	J	A	
44. APPLE	A	Dividend	J	T	Sold (part)	8/27/13	J	A	
45. COLGATE PALMOLIVE	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

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Date of Report

11/16/2014

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

Section I: I am a general partner in an informal (no formal partnership agreement) that owns a multi unit residential building where our mothers used to live.

SECTION VIIA. LINE 19 NSTAR WAS ACTUALLY CLOSED ON AUGUST 6, 2009. DIVIDENDS APPEAR TO HAVE CONTINUED TO BE PAID ON A FRACTIONAL SHARE REMAINING IN THE ACCOUNT. THE AMOUNT WAS DE MINIMUS AND LOWER THAN THE REPORTING THRESHOLD. I HAVE NOT BEEN INVOLVED IN DECIDING ANY CASES INVOLVING THIS SECURITY.

SECTION VIIA. LINES 20 AND 21. WHILE PREPARING THIS YEAR'S REPORT, I DISCOVERED THAT I HAD INADVERTENTLY OMITTED 2 PURCHASES OF STOCK IN CARLISLE COMPANY (CSL) MADE DURING 2012. I HAVE ENTERED THE APPLICABLE DATA FOR THESE PURCHASES HERE, ALONG WITH THE 2013 PURCHASE OF ADDITIONAL SHARES I DID NOT PARTICIPATE IN ANY CASE INVOLVING CSL SINCE ACQUIRING SHARES IN THAT COMPANY (OR BEFORE, AS FAR AS I CAN RECALL).

SECTION VIIA. LINE 33 - WHILE PREPARING THIS REPORT, I DISCOVERED THAT I HAD INADVERTENTLY OMITTED A POSITION ACQUIRED IN AMERICAN BOND FUND (ABNDX) IN 2012. I HAVE ADDED THAT SECURITY HERE. I HAVE NOT PARTICIPATED IN ANY CASE INVOLVING ABNDX.

SECTION VII A. LINES 14 AND 33 TO 37 - AMERICAN FUND FAMILY. WHILE PREPARING THIS REPORT, I DISCOVERED THAT SEPERATE PURCHASES OF VARIOUS FUNDS IN THE AMERICAN FUNDS FAMILY HAD INADVERTENTLY BEEN OMITTED FROM Y 2012 REPORT. I AM INCLUDING THE RELEVANT INFORMATION HERE. I HAVE NOT BEEN INVOLVED IN ANY CASES INVOLVING ANY OF THESE FUNDS.

SECTION VIIA. LINE 40. THIS IS THE FIRST TIME I HAVE LISTED A BANK ACCOUNT. I DID NOT REALIZE THAT BANK ACCOUNTS WERE COVERED BY THESE DISCLOSURES AS I OWN NO STOCK IN THE INSTITUTION WHERE THE ACCOUNTS ARE HELD.

REQUIRING DISCLOSURE OF WHERE ACCOUNTS ARE HELD IS A RECIPE FOR DISASTER AND AN INVITATION TO IDENTITY THEFT, AND I DOUBT THERE IS ANY REASONED EXPLANATION FOR THE REQUIREMENT. HOWEVER, SINCE IT IS REQUIRED BY AN ACT OF CONGRESS, I AM PROVIDING THAT INFORMATION ON THIS FORM.

REPLY TO LETTER DATED SEPTEMBER 17, 2014

1: YOU NOTE THAT I DID NOT CHECK THE TYPE OF REPORT IN BLCK 5. I AM NOT SURE WHAT HAPPENED, BUT IT WAS CHECKED. MOREOVER, IT IS CLEARLY CHECKED ON THE COPY THAT I DOWNLOADED FROM FIDO. IF IT IS NOT CHECKED ON THIS REPORT WHEN FILED, PLEASE INFORM ME AS THERE MAY BE SOME KIND OF BUG IN THIS FILE. IN ANY EVENT, THIS IS MY ANNUAL REPORT. I DO, HOWEVER, NOTE THAT I DID NOT FILL IN THE DATE OF MY NOMINATION ON THE FILED REPORT. HOWEVER,, BOX 5A DOES NOT ALLOW ME TO CHECK "ANNUAL REPORT" AND ALSO FILL IN THE BOX FOR THE DATE OF MY NOMINATION. I THEREFORE ASSUME THAT THE LATTER IS ONLY FOR NOMINATION REPORTS.

2. THE INFORMATION IS NOW PROVIDED FOR PART IIIB, LINE 1. (SALARY).

3. YOU NOTE THAT I LISTED COLGATE PALMAOLIVE, HERMAN MILLER, AND LIBERTY MEDIA HOLDING ON THIS REPORT, BUT THEY WERE NOT LISTED IN PRIOR REOPRTS. THE EXPLANATION IS AS FOLLOWS:

EACH OF THESE SECURITIES SHOULD HAVE BEEN LISTED ON MY PRIOR REPORT EXCEPT FOR LIBERTY MEDIA HOLDING. THAT SECURITY WAS ACTUALLY CLOSED ON AUGUST 5, 2010 AND WAS LISTED IN ERROR IN SUBSEQUENT REPORTS, INCLUDING THE REPORT ORIGINALLY FILED FOR 2013.. THE GAIN CODE A AND THE VALUE CODE WAS J. COLGATE PALMOLIVE WAS HELD IN 2013. AND THE INCOME DURING THE YEAR WAS AMT CODE A., THE INCOME WAS PAID VIA DIVIDENDS. THE GROSS VALUE AT THE END OF THE REPORTING PERIOD WAS J USING METHOD T. I HAVE ADDED IT TO SECTION VII. HERMAN MILLER WAS ACTUALL CLOSED ON OCTOBER 15, 2012 BY MARKET SALE FOR VALUE CODE J AND GAIN CODE A. IT WAS LISTED IN ERROR IN THE SUBSEQUENT REPORT. (I HAVE COMPLETED THE ENTRY FOR COLGATE PALMOLIVE AND TUPPERWARE BRANDS AS REQUESTED).

4. YOU NOTE THAT APPLE AND PAX WORLD BALANCED FUND WERE LISTED IN MY PRIOR REPORT, BUT OMITTED FROM THIS REPORT. THEY WERE BOTH OMITTED IN ERROR. I HAVE ENTERED THE TRANSACTIONS IN SECTION VII OF THIS REPORT. ALONG WITH OTHER PETINENT INFORMATION.

5. YOU LIST SEVERAL HOLDINGS THAT WER LISTED AS CLOSED IN MY PRIOR REPORT UNDER SECTION VII BUT APPEAR ON THE CURRENT REPORT. VIZ: GENERAL ELECTRIC, WASHINGTON MUTUAL, EURO PACIFIC FUND. YOU ALSO LIST POSITIONS REPORTED

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

MCKEE, THEODORE A.

Date of Report

11/16/2014

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

CLOSED ON MY PRIOR REPORT IN SECTION VIII, BUT WHICH NEVERTHELESS APPEAR ON MY CURRENT REPORT; VIZ IDEARC INC., LENAR CORP. IN GOING BACK OVER MY PRIOR YEAR FDR AND COMARING THESE ENTRIES WITH THE ONLINE RECORDS FOR THE RELEVANT ACCOUNTS, IT APPEARS THAT JOURNAL ENTRIES WERE MADE FOR EACH OF THESE ACCOUNTS DURING 2013 BECAUSE FRACTIONAL OR DE MINIMIS SHARES REMAINED AFTER THE SELL ORDER. HOWEVER, THE AMOUNT FOR EACH OF THOSE SECURITIES DURING 2013 WAS LESS \$1,000 AND THE INCOME DID NOT EXCEED THE THRESHOLD REQUIRED FOR REPORTING. THEREFORE, THEY COULD HAVE BEEN DELETED FROM THIS REPORT. I HAVE GONE BACK TO EACH OF THE LINES YOU REFER TO AND DELETED THE ENTRY. I HAVE TRIED TO DO THIS IN A MANNER THAT WOULD RETAIN THE LINE NUMBERS SO THAT THIS REPORT CAN READLY BE COMPARED WITH THE ORIGINAL. ACCORDINGLY, THERE ARE BLANK LINES IN SECTION VII OF THIS REPORT WHERE THESE "ERASURES OCURRED."

FINALLY, DURING A RECENT MEETING WITH A REPRESENTATIVE FROM TIAA-CREF, WHERE [REDACTED] AND I HAVE RETIREMENT ACCOUNTS, I REALIZED THAT I HAD NEVER DISCLOSED THAT ACCOUNT ON PRIOR REPORTS GOING BACK TO 1994 WHEN FIRST APPOINTED. UPON CHECKING WITH THE ACCOUNT REPRESENTATIVE. HOWEVER, THE ACCOUNT REPRESENTATIVE EXPLAINED TO ME THAT THE WAY THE ACCOUNT IS SET UP, [REDACTED] I HAVE ANY SAY IN PARTICULAR ACQUISITIONS OR SALES, RATHER, WE TELL HIM THE AMOUNT OF RISK WE ARE COMFORTABLE WITH AND DEFINE OUR SAVING OBJECTIVES AND TIME HORIZON AND TIAA-CREF THEN SELECTS INVESTMENTS CONSISTENT WITH THAT STRATEGY AND THEY ARE HELD IN THE ACCOUNT AS LONG AS THE MANAGER THINKS IT PRUDENT TO DO SO. ACCORDINGLY, IT IS MY UNDERSTANDING THAT I DO NOT NEED TO ATTEMPT TO RECONSTRUCT TRANSACTIONS THAT TIAA-CREF MADE IN THIS ACCOUNT. THE EQUITIES AND FUNDS HELD IN THE ACCOUNTS THERE ARE AS FOLLOWS:

TIAA Traditional

CREF Global Equities

CREF Stock

DFA Emerging Markets Core Equity Portfolio Institutional

DFA US Targeted Value Portfolio R1

TIAA-CREF International Equity Index Fund - Retirement Class

TIAA-CREF Large-Cap Value Fund - Retirement Class

TIAA-CREF Mid-Cap Value Fund - Retirement Class

TIAA Real Estate

CREF Bond Market

CREF Inflation-Linked Bond

Vanguard Total Bond Market Index Fund - Signal Shares

CREF Money Market

TIAA-CREF Lifecycle Index 2015 Fund - Retirement Class

After Tax Annuity

Teachers Personal Annuity Fixed Account

Brokerage

DREYFUS GOVT PRIME INV SH

AMERICAN CENTURY VALUE FUND (INSTITUTIONAL CLASS)

DELAWARE SMALL-CAP VALUE FUND (INSTITUTIONAL CLASS)

DELAWARE DIVERSIFIED INCOME FUND CLASS I

HARDING LOEVNER INSTITUTIONAL EMERGING MARKETS CLASS I

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

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

ISHARES TR TIPS BD ETF

ISHARES TR CORE U S AGGREGATE BD ETF

JOHN HANCOCK INTERNATIONAL GROWTH FUND CLASS I

MFS INTERNATIONAL NEW DISCOVERY FUND CLASS I

MAINSTAY HIGH YIELD CORPORATE BOND FUND CLASS I

PIMCO EMERGING LOCAL BOND FUND INSTITUTIONAL CLASS

PRUDENTIAL JENNISON 20/20 FOCUS FUND CLASS Z

TIAA-CREF MID-CAP VALUE FUND INSTITUTIONAL CLASS

USAA SHORT-TERM BOND FUND INSTITUTIONAL CLASS

VANGUARD BD INDEX FD INC SHORT TERM BD ETF

HOWEVER, I WANT TO STRESS THAT WE DO NOT HAVE ANY CONTROL OVER THE INVESTMENTS IN THE ACCOUNTS. WE DID NOT, AND DO NOT TELL THE ACCT REP WHICH INVESTMENTS TO PURCHASE, WHEN TO PURCHASE ANY OR WHEN TO SELL ANY. RATHER THE ACCOUNT REP(S) MAKE THOSE DECISIONS BASED ON OUR INVESTMENT GOALS, RISK TOLERANCE AND RETIREMENT PLANS.

THANK YOU. I NOW ASSUME THAT THIS SATISFIES THE REQUEST THAT WAS MADE FOR ADDITIONAL INFORMATION. IF IT DOES NOT, OR IF ADDITIONAL ISSUES REMAIN BASED ON THIS SUBMISSION, PLEASE SO INFORM ME SO THAT I MAY ADDRESS THEM.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544