

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) Aldisert, Ruggero J.	2. Court or Organization Third Circuit	3. Date of Report 08/01/2014
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 ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Santa Barbara CA 93105		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 12/31/13	Nat'l Institute of Trial Advocacy (Publication Royalties)	\$5,398.00
2. 12/31/13	West Services Inc. (Publication Royalties)	\$2,429.00
3. 12/31/13	Carolina Academic Press (Publication Royalties)	\$2,512.00
4. 12/31/13	AuthorHouse (Publication Royalties)	\$395.00

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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. _____	_____	_____	_____	_____
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.)*

<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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Name of Person Reporting

Aldisert, Ruggero J.

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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. Union Bank Bank & Trust Co.	A	Interest	K	T					
2. Bank of America	A	Interest	M	T					
3.									
4.									
5. MUTUAL FUNDS									
6. The Aldisert Revocable Trust									
7. Alger Capital Appreciaton Class A	B	Dividend	L	T					
8. Delaware Small Cap Fund Class A	B	Interest	K	T					
9. First Eagle Fund of America Class A	C	Dividend	K	T					
10. First Eagle Overseas Fund Class A	C	Dividend	L	T					
11. Franklin Floating RT Daily Access CLA	A	Dividend	K	T	Buy	05/23/13	J		
12. Gabelli Asset Fund AAA	C	Dividend	L	T					
13. Inv Int Term Muni Income Fund CL A	A	Dividend			Sold	03/12/13	K		
14. Invsco Tax Free Intermediate CL A	A	Dividend	K	T	Buy	03/12/13	K		
15. Invesco Tax Free Intermediate CL A	A	Dividend			Sold	05/23/13	K		
16. IVY Science & Tech Fd.	A	Dividend	K	T					
17. JP Morgan US Equity A	D	Dividend	L	T	Sold (part)	07/18/13	J	A	

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 = \$250,000,001 - \$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 I (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. MFS Value A (USA)	A	Dividend	K	T					
19. Royce Total Return FD Investment CL	B	Dividend	K	T					
20. Alliance Bernstein Hi Income Muni Port A	A	Dividend			Buy	05/23/13	J		
21. Alliance Bernstein Hi Income Muni Port A	A	Interest			Sold	10/17/13	J		
22. AllianceBer Muni INC CA CL A	A	Dividend			Sold	10/17/13	L		
23. American Funds Tax Exempt CA F	A	Dividend	K	T					
24. Lord Abbett Short Duration Income CL A	A	Dividend	J	T	Buy	02/06/13	J		
25. Nationwide Highmark CA INT TAX FREE BD A	A	Dividend	L	T	Buy	10/17/13	L		
26. Pimco Emerging Local Bond Fund CL A	A	Dividend	J	T					
27. Pimco Invest Grade Corp Bond CL A	A	Interest	J	T	Sold (part)	02/05/13	J	A	
28. Templeton Global Bond Class A	A	Dividend	K	T					
29.									
30.									
31. [REDACTED] IRA									
32. JP Morgan US Equity Fund Class C	A	Dividend	J	T	Sold (part)	11/18/13	J	A	
33. MFS Moderate Allocation CL C	A	Dividend	J	T					
34.									

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)

35.									
36.									
37.	Delaware Small Cap Value Class C	B	Dividend	J	T				
38.	First Eagle Fund of America Class C	A	Dividend	J	T				
39.	First Eagle Overseas Class C	A	Dividend	J	T				
40.	JP Morgan US Equity Fund Class C	A	Dividend	J	T				
41.	Norberg-Burns Real Estate Fund C	A	Dividend	J	T				
42.	Norberg-Burns R&M Real Estate	A	Dividend	J	T				
43.	Private Real Estate Partners	X	Dividend		Sold				
44.	JP Morgan Real Estate Fund Class C	A	Dividend	J	T				
45.	Private Real Estate Partners	A	Dividend	J	T				
46.	JP Morgan Real Estate Income Fund	A	Dividend	J	T				
47.	Delaware Small Cap Value Class C	A	Dividend	J	T				
48.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
49.	Delaware Small Cap Value Class C	A	Dividend	J	T				
50.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
51.	Delaware Small Cap Value Class C	A	Dividend	J	T				
52.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
53.	Delaware Small Cap Value Class C	A	Dividend	J	T				
54.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
55.	Delaware Small Cap Value Class C	A	Dividend	J	T				
56.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
57.	Delaware Small Cap Value Class C	A	Dividend	J	T				
58.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
59.	Delaware Small Cap Value Class C	A	Dividend	J	T				
60.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
61.	Delaware Small Cap Value Class C	A	Dividend	J	T				
62.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
63.	Delaware Small Cap Value Class C	A	Dividend	J	T				
64.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
65.	Delaware Small Cap Value Class C	A	Dividend	J	T				
66.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
67.	Delaware Small Cap Value Class C	A	Dividend	J	T				
68.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
69.	Delaware Small Cap Value Class C	A	Dividend	J	T				
70.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
71.	Delaware Small Cap Value Class C	A	Dividend	J	T				
72.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
73.	Delaware Small Cap Value Class C	A	Dividend	J	T				
74.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
75.	Delaware Small Cap Value Class C	A	Dividend	J	T				
76.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
77.	Delaware Small Cap Value Class C	A	Dividend	J	T				
78.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
79.	Delaware Small Cap Value Class C	A	Dividend	J	T				
80.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
81.	Delaware Small Cap Value Class C	A	Dividend	J	T				
82.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
83.	Delaware Small Cap Value Class C	A	Dividend	J	T				
84.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
85.	Delaware Small Cap Value Class C	A	Dividend	J	T				
86.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
87.	Delaware Small Cap Value Class C	A	Dividend	J	T				
88.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
89.	Delaware Small Cap Value Class C	A	Dividend	J	T				
90.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
91.	Delaware Small Cap Value Class C	A	Dividend	J	T				
92.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
93.	Delaware Small Cap Value Class C	A	Dividend	J	T				
94.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
95.	Delaware Small Cap Value Class C	A	Dividend	J	T				
96.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
97.	Delaware Small Cap Value Class C	A	Dividend	J	T				
98.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				
99.	Delaware Small Cap Value Class C	A	Dividend	J	T				
100.	JP Morgan Core Bond Fund Class C	A	Dividend	J	T				

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income, joint transactions (includes those of spouse and dependent children, see pp. 33-60 of filing instructions).

 MONI / To reportable income, users, or transactions |[illegible]

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VII. INVESTMENTS and TRUSTS

NONE. No reportable income, assets, or transactions.

Investment or Asset (including trust assets)	Income during reporting period	Gross value at end of reporting period		Transactions during reporting period				Value	Gain	Identity of counterparty
		Beginning	Ending	Date	Type	Value	Gain			
69. Fidelity Multi-Money Market	A	Interest	J	T						
70. Fidelity Select Shares	A	Dividend	K	T						
71.										
72.										
73. LIFE INSURANCE POLICIES										
74. Phoenix Whole Life	A	Dividend	J	T						
75. Transamerica Life Companies Whole Life	A	Dividend	K	T						
76. Penn Mutual Whole Life	A	Dividend	J	T						
77.										
78.										
79. MIP Investment Club										
80. Akami Tech	A	Dividend			Buy	03/07/13	J			
81. Akami Tech	A	Dividend			Sold	09/13/13	J	A		
82. Apple Inc	A	Dividend	K	T						
83. Bank of America Corp	A	Dividend	J	T	Buy (add'l)	04/18/13	J			
84. Chevron Corp New	A	Dividend	J	T	Buy	11/15/13	J			
85. Corning Inc	A	Dividend			Buy	04/11/13	J			

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 \$5,000,000	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.)

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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				
	(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)
86. Corning Inc	A	Dividend			Sold	05/17/13	J	C	
87. Cummins Inc	A	Dividend	J	T					
88. Deckers Outdoor	A	Dividend			Sold	05/23/13	J		
89. Disney Walt Co	A	Dividend	J	T	Buy	09/26/13	J		
90. Dreyfus S & P 500 Index Fund	A	Dividend	J	T					
91. Fidelity Corporate Bond	A	Dividend			Sold	10/03/13	J	A	
92. Kinder Morgan Energy	A	Dividend	J	T	Buy	04/16/13	J		
93. Kinder Morgan Energy	A	Dividend			Buy (add'l)	10/18/13	J		
94. General Electric Co	A	Dividend	J	T	Buy (add'l)	09/13/13	J		
95. McDonald Corp	A	Dividend			Sold	03/07/13	J		
96. Microsoft Corp	A	Dividend			Sold	05/09/13	J	A	
97. Novo-Nordisk	A	Dividend	J	T					
98. Paneral Bread Co.	A	Dividend			Sold	10/03/13	J	B	
99. Schlumberger Limited	A	Dividend			Sold	05/16/13	J	A	
100. Dow Chemical	A	Dividend			Sold	02/28/13	J		
101. Qualcomm	A	Dividend	J	T	Buy	09/12/13	J		
102.									

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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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				
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103.									
104.									
105.									

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

Please note the the sold date for Dow Chemical has been amended to 02/28/13.

Please note that gain codes have been added to Panera Bread, Microsoft Corp and Corning.

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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/ **Ruggero J. Aldisert**

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