

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) Nygaard, Richard L.	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 05/02/2014
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 17 South Park Row Suite B-230 Erie, PA 16501		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Pennsylvania State Retirement System	\$16,542
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.	
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.				
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. Erie Federal Credit Union	A	Interest	J	T					
2. Savings Account at Los Angeles F&A Credit Union	A	Interest	J	T					
3. PNC Checking/Saving Account	B	Interest	J	T					
4. Real Estate, Mina Twnshp, Chautauqua County, NY \$153,700		None	M	S					
5. BBRY 1000 Shares		None	J	T	Buy	11/17/13	J		
6. CRUS 1000 Shares		None	K	T	Buy	04/27/13	J		
7. TIVO 500 Shares		None	J	T					
8. SWKS 1000 Shares		None	J	T	Buy	04/27/13	J		
9. SWKS 1000 Shares		None			Sold	01/18/13	J	A	
10. PWER 300 Shares		None			Sold	02/18/13	J	A	
11. WLT 1000 Shares		None	K	T	Buy	09/21/13	K		
12. AMRN 1000 Shares		None	J	T	Buy	12/21/13	J		
13. JCP 1000 Shares		None	K	T	Buy	01/18/13	K		
14. TIBX 500 Shares		None	K	T	Buy	11/19/13	J		
15. ABFS 10 January \$31 Puts		None			Expired	01/18/13	J	A	
16. SHLD 2 January \$40.42 Puts		None			Expired	01/18/13	J	A	
17. MU 10 Feb \$21 Puts		None			Sold	01/10/13	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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 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. HALO 10 Feb \$14 Puts		None			Sold	01/10/13	J	A	
19. MDVN 10 Feb \$57.50 Puts		None			Sold	01/07/13	J	A	
20. BKS 10 Feb \$17 Puts		None			Sold	01/06/13	J	A	
21. BBY 10 Feb \$36 Puts		None			Sold	01/02/13	J	A	
22. CSIQ 10 Feb \$25 Puts		None			Sold	01/03/13	J	A	
23. BHP 5 Feb \$62.50 Puts		None			Sold	01/03/13	J	A	
24. AUJ 5 Feb \$10 Puts		None			Sold	01/03/13	J	A	
25. WLT 10 Feb \$15 Puts		None			Sold	01/13/13	J	A	
26. CZR 10 Feb \$17.5 Puts		None			Sold	01/10/13	J	A	
27. AMRN 10 Feb \$2 Puts		None			Sold	01/13/13	J	A	
28. ACAD 10 Feb \$20 Puts		None			Sold	01/13/13	J	A	
29. BTU 10 Feb \$18 Puts		None			Sold	01/13/13	J	A	
30. TIVO 2 Feb \$13 Puts		None			Sold	01/14/13	J	A	
31. BBRY 10 Feb \$8 Puts		None			Sold	01/14/13	J	A	
32. QCOR 5 Feb \$40 Puts		None			Sold	01/14/13	J	A	
33. SHLD 5 Feb \$39 Puts		None			Sold	01/10/13	J	A	
34. SHLD 5 Feb \$40.42 Puts		None			Sold	01/10/13	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 = \$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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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. LPX 10 Feb \$18 Puts		None			Sold	01/16/13	J	A	
36. TIBX 5 Feb \$23 Puts		None			Sold	01/16/13	J	A	
37. WLT 10 Feb \$16 Puts		None			Sold	01/21/13	J	A	
38. AMBA 10 Feb \$27 Puts		None			Sold	01/21/13	J	A	
39. AUY 5 Feb \$10 Puts		None			Sold	01/27/13	J	A	
40. AGO 10 Feb \$19 Puts		None			Sold	01/27/13	J	A	
41. RMTI 10 Feb \$8 Puts		None			Sold	01/28/13	J	A	
42. CRUS 10 Feb \$19 Puts		None			Sold	01/29/13	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
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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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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/ **Richard L. Nygaard**

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