

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) Roth, Jane R.	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 01/03/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit 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 18316 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.)

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.		
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.	
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. Emory Law School	Oct.21-22	Atlanta, GA	Moot Court	Transportation and Lodging
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	M & T Bank	Loan	K
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. M & T Bank Checking Acct	A	Interest	J	T					
2. Wells Fargo Bank Checking	A	Interest	J	T					
3. Wells Fargo Bank Savings	A	Interest	J	T					
4. TRUST WITH WILM. TRUST (H)									
5. Exxon Common Stock	B	Dividend	K	T					
6. Johnson & Johnson Common	B	Dividend	L	T	Sold (part)	06/28/17	J		
7. Pepsico Common Stock	B	Dividend	L	T					
8. Proctor & Gamble Common	A	Dividend	K	T					
9. Minnesota M&M Common (MMM)	B	Dividend	L	T					
10. Hewlett-Packard Common	A	Dividend	J	T					
11. DXC Technology	A	Dividend	J	T	Spinoff (from line 10)	03/31/17			
12.					Sold (part)	04/18/17	J	A	
13. Seattle Spinco		None			Spinoff (from line 10)	09/01/17	J		
14.					Sold	09/06/17	J	A	
15. Micro Focus	A	Dividend			Buy	09/06/17	J		
16.					Sold	10/05/17	J	A	
17. HP Inc	A	Dividend	K	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 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
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 \$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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18. Air Prod & Chem Common	A	Dividend	K	T	Sold (part)	06/28/17	J	D	
19. Versum Materials	A	Dividend			Sold	09/29/17	J	A	
20. -Ishares - Utilities	A	Dividend	K	T					
21. -Ishares - MSCI EAFE	C	Dividend	M	T					
22. -Ishares - Russell 2000	A	Dividend	K	T					
23. -Ishares - S&P 500 Growth	C	Dividend	M	T					
24. -Ishares - S&P 500 Value	C	Dividend	M	T					
25. Vanguard MSCI EAFE	B	Dividend	L	T					
26. Vanguard MSCI Emerging Markets	D	Dividend	M	T					
27. Victory Integrity Small Cap	A	Dividend	K	T					
28. Wilm. Prime Money Market	B	Interest	M	T					
29. WilmLarge-CapFund	D	Dividend	O	T					
30. Trust (H)									
31. Max Appreciation Fund	B	Dividend	L	T					
32. M&T Corp.	B	Dividend	L	T					
33. Wilm Govt Fund	A	Dividend	J	T					
34. Wilm Trust IRA (H)									

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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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35. Absolute Strategies		None	M	T					
36. AQR Managed Futures	C	Dividend	L	T					
37. Holdback Fund		None			Buy	02/15/17	K		
38.					Sold	06/28/17	K	A	
39. Vanguard Market Neutral	A	Dividend	K	T					
40. William Blair Blue T.E. Fund		None			Sold (part)	01/03/17	M	C	
41.					Sold	09/29/17	J	A	
42. William Blair T.E. Fund		None			Sold	11/21/17	J	D	
43. Cambiar Intl Equity Fund	B	Dividend	M	T					
44. Ishares Core MSCI	B	Dividend	L	T					
45. Vanguard Dividend Appreciation	C	Dividend	M	T	Sold (part)	12/13/17	K	D	
46. WCM Focused Intl Growth Fund	A	Dividend	M	T					
47. Vanguard Inflation Protected	B	Dividend	K	T					
48. Blackrock Strategic	A	Dividend	K	T	Buy	12/07/17	K		
49. Riverpark S/T	A	Dividend	K	T	Buy	12/07/17	K		
50. BBH Limited Duration Fund	B	Dividend	K	T	Buy	12/07/17	K		
51. Guggenheim Duration	B	Dividend	L	T	Buy	12/07/17	L		

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52. Vanguard Short Term Treasury	A	Dividend	K	T	Buy	12/07/17	K		
53. Wilmington U.S. Govt Fund W Class	A	Dividend	M	T					
54. FPA New Income fund	A	Dividend			Sold	12/05/17	M	A	
55. Scout Bond Fund	A	Dividend			Sold	12/05/17	M	A	
56. WTC Roth IRA (H)									
57. Absloute Strategies Fund		None	K	T					
58. Diamond Hill Large Cap	A	Dividend			Sold	04/05/17	K	B	
59. Ishares Barclays Tips Bond Fund	A	Dividend	J	T	Sold (part)	02/13/17	J	A	
60.					Sold (part)	10/13/17	J	A	
61. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Dividend	J	T					
62. Ishares Cores Msci Emerging	A	Dividend	J	T	Sold (part)	04/07/17	J	A	
63. Ishares Russell 2000 ETF	A	Dividend	K	T	Buy	03/20/17	J		
64.					Buy (add'l)	04/07/17	J		
65. Ishares Russell 1000 Growth ETF	A	Dividend	K	T	Buy	04/07/17	J		
66.									
67. Ishares Russell 1000 Value ETF	A	Dividend	J	T	Buy	04/07/17	J		
68.									

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69. JPMorgan US Small	A	Dividend	J	T	Sold (part)	04/05/17	J	A	
70.									
71. LSV Value Equity Fund		None	K	T	Buy (add'l)	04/05/17	J		
72.									
73.									
74.									
75. Morgan Stanley IF Growth		None			Sold	01/5/17	K	A	
76. SPDR Dow Jones Intl Real Estate	A	Dividend	J	T	Buy (add'l)	04/07/17	J		
77.									
78. T Rowe Price Large Cap	A	Dividend			Sold	04/05/17	K	A	
79.									
80. Touchstone Small Cap	A	Dividend			Sold	03/16/17	J	A	
81. Vanguard FTSE Developed Markets	B	Dividend	L	T					
82. Victory Integrity	A	Dividend	J	T					
83. Wilma Small-Cap Strategy Fund	A	Dividend			Sold	12/27/17	J	A	
84. Wilma Large Cap Strategy Fund	A	Dividend	K	T	Sold (part)	04/05/17	J	A	
85. Wilma Prime MM Fund	A	Dividend	J	T					

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86.									
87.									
88.									
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Section VII, Line 27, Municipal Bond Common Fund was sold on 12/4/15 - mistakenly reported as WTC Common Funds, line 29 on 2015 Report. These investments were mistakenly listed as two when they were in fact just one investment.

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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/ Jane R. Roth**

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