

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/06/2019
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 01/01/2018 to 12/31/2018
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. Vice President	Friends of the Palisades Library
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. Aspen Wye Institute

7/20-22

Wye, Maryland

Conference

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.)*

	<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.	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	U					
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					
7. Pepsico Common Stock	A	Dividend			Sold (part)	06/29/18	K	E	
8.					Sold	09/21/18	J	C	
9. Proctor & Gamble Common	A	Dividend			Sold	11/13/18	K	E	
10. Minnesota M&M Common (MMM)	B	Dividend	L	T					
11. Hewlett-Packard Common	A	Dividend	J	T					
12. DXC Technology	A	Dividend			Sold	08/30/18	J	A	
13. Perspecta		None			Spinoff (from line 12)	06/18/18	J		
14.					Sold	08/20/18	J	A	
15. HP Inc	A	Dividend			Sold	09/21/18	K	E	
16. Air Prod & Chem Common	A	Dividend	K	T					
17. -Ishares - Utilities	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 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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18. -Ishares - MSCI EAFE	C	Dividend	M	T					
19. -Ishares - Russell 2000	A	Dividend	K	T					
20. -Ishares - S&P 500 Growth	C	Dividend	M	T					
21. -Ishares - S&P 500 Value	D	Dividend	M	T					
22. -Ishares - Small Cap 600	A	Dividend	K	T	Buy	11/28/18	K		
23. M & T Corp		None			Spinoff (from line 31)	08/13/18	L		
24.					Sold	08/30/18	L	E	
25. Nuveen Short Dur	A	Interest	L	T	Buy	09/05/18	L		
26. Vanguard MSCI EAFE	B	Dividend	L	T					
27. Vanguard MSCI Emerging Markets	D	Dividend	M	T					
28. Victory Integrity Small Cap	A	Dividend			Sold	11/28/18	K	B	
29. Wilm. Prime Money Market	C	Interest	M	T					
30. Wilm Large-CapFund	D	Dividend	O	T					
31. Trust (H)									
32. Max Appreciation Fund	B	Dividend			Sold	08/03/18	L	C	
33. M&T Corp.	B	Dividend			Distributed	08/13/18	L	E	
34. Wilm Govt Fund	A	Dividend			Distributed	08/10/18	J	A	

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35. Wilm Trust IRA (H)									
36. Absolute Strategies		None			Sold	08/10/18	M	A	
37. AQR Managed Futures		None	M	T					
38. Vanguard Market Neutral	A	Dividend	K	T					
39. Cambiar Intl Equity Fund	B	Dividend	M	T					
40. Ishares Core MSCI	B	Dividend	L	T					
41. Vanguard Dividend Appreciation	C	Dividend			Sold	08/16/18	M	F	
42. WCM Focused Intl Growth Fund	A	Dividend	M	T					
43. Vanguard Inflation Protected	B	Dividend	K	T					
44. Blackrock Strategic	B	Dividend	K	T	Buy (add'l)	08/21/18	K		
45. Riverpark S/T	B	Dividend	L	T	Buy (add'l)	08/21/18	K		
46. BBH Limited Duration Fund	B	Dividend	L	T	Buy (add'l)	08/21/18	K		
47. Guggenheim Duration	B	Dividend	M	T	Buy (add'l)	08/21/18	L		
48. Vanguard Short Term Treasury	B	Dividend	L	T	Buy (add'l)	08/21/18	K		
49. Nuveen Small Cap	B	Dividend	M	T	Buy	09/27/18	L		
50.					Buy (add'l)	11/29/18	K		
51. Wilmington U.S. Govt Fund W Class	B	Dividend	L	T					

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52. WTC Roth IRA (H)									
53. Absloute Strategies Fund		None			Sold	08/10/18	K	A	
54. Ishares Barclays Tips Bond Fund	A	Dividend	J	T	Buy (add'l)	01/18/18	J		
55. Ishares Trust Cohen & Steers Realty Majors Index Fund	A	Dividend	J	T	Buy (add'l)	01/18/18	J		
56. Ishares Core Msci Emerging	B	Dividend	L	T	Buy (add'l)	08/03/18	J		
57.					Buy (add'l)	12/06/18	K		
58.					Buy (add'l)	12/18/18	J		
59. Ishares Russell 2000	A	Dividend			Buy	01/18/18	J		
60.					Sold (part)	03/29/18	J	A	
61.					Sold	04/03/18	J	A	
62. Isharees Russell 1000	A	Dividend	K	T	Buy	01/18/18	J		
63.					Sold (part)	01/18/18	J	A	
64.					Buy (add'l)	08/30/18	J		
65.					Buy (add'l)	09/04/18	J		
66.					Sold (part)	12/06/18	J	A	
67.					Sold (part)	12/18/18	J	A	
68. JPMorgan US Small		None			Sold	01/17/18	J	B	

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69. LSV Value Equity Fund		None	K	T	Buy (add'l)	01/17/18	J		
70.					Sold (part)	08/02/18	J	A	
71.					Sold (part)	08/31/18	J	A	
72. Meridian Small-Cap		None	J	T	Sold (part)	01/17/18	J	A	
73.					Sold (part)	03/29/18	J	A	
74.					Sold (part)	01/02/18	J	A	
75.					Sold (part)	08/31/18	J	A	
76. SPDR Dow Jones Intl Real Estate	A	Dividend	J	T	Buy (add'l)	01/18/18	J		
77. T Rowe Price Large Cap	A	Dividend			Sold (part)	01/17/18	J	A	
78.					Sold	08/02/18	K	B	
79. Touchstone Small Cap		None			Sold	03/16/17	J	A	
80. Vanguard FTSE Developed Markets	B	Dividend	L	T	Buy (add'l)	01/18/18	J		
81.					Sold (part)	06/07/18	J	A	
82. Victory Integrity	A	Dividend			Sold (part)	01/29/18	J	A	
83.					Sold	04/02/18	J	A	
84. Ishares Small-Cap	A	Dividend	K	T	Buy (add'l)	01/18/18	J		
85.					Buy (add'l)	03/29/18	J		

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86.					Buy (add'l)	04/03/18	J		
87.									
88. Nuveen Small Cap	A	Dividend	J	T	Buy	03/29/18	J		
89.					Buy (add'l)	04/02/18	J		
90.					Buy (add'l)	06/07/18	J		
91.					Sold (part)	08/31/18	J	A	
92. Harbor Large Cap	A	Dividend	J	T	Buy	08/02/18	J		
93. AQR Stylle Premia	B	Dividend	K	T	Buy	08/10/18	K		
94. Wilm Large-Cap Strategy Fund	B	Dividend	K	T	Buy (add'l)	01/17/18	J		
95. Wilm Prime MM Fund	A	Dividend	K	T					

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

Section VII, Lines 31 and 4: The Trust at line 31 was terminated and my share was distributed to me on August 10-13. Line 23, reflects the distribution of the M & T stock from the Trust at line 31 to the Trust at line 4.

Section VII, Line 79, Touchstone Small Cap, was sold on 3/16/2017.

Section VII, Line 72, the entity is called "Morgan Stanley" in the 2017 FDR but is in fact "Meridian Small-cap," as corrected in the 2018 FDR. The values are correctly stated in both the 2017 and 2018 FDRs.

Section VII, Line 84, the entity is called "Wilm Small Cap" in the 2017 FDR but is in fact "Ishares Small Cap," as corrected in the 2018 FDR. The values are correctly stated in both the 2017 and 2018 FDRs.

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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