

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Rendell, Marjorie O.	2. Court or Organization USCA - 3CA - Philadelphia	3. Date of Report 04/28/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. Court of Appeals 601 Market Street, Room 21613 Philadelphia, PA 19106-1598	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. Member, Board of Directors	Avenue of the Arts, Inc.
2. Director	Regional Performing Arts Center
3. Member, Board of Overseers	School of Nursing, University of Pennsylvania
4. Executrix	Estate of Gerry Harkavy
5.	

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.	

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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. 07/15/10	Fee as Executrix of Estate of Gerry Harkavy	\$3,500.00
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. 2010	Philadelphia Sports Media L.P. - TV Sports Commentator
2. 2010	Commonwealth of Pennsylvania - earnings for services as Governor
3. 2010	City of Philadelphia - pension
4. 2010	University of Pennsylvania - Instructor

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. Jack Miller Center	5/13/10	Chicago, IL	Symposium for Civic Education	Travel
2. American Bar Assoc	08/06/10-08/08/10	San Francisco, CA	Annual meeting, Panal on Civic Education	Travel, lodging
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.	Philadelphia Orchestra	Academy Ball tickets	\$800.00
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.	Cape Savings Bank, Cape May, NJ	Mortgage on rental property	N
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. IRA #1	E	Dividend	P1	T					
2. -Adams Harkness Sm. Cap									
3. -Artio Int'l Equity Fund					Sold	08/11/10	K	A	
4. -Baron Growth					Buy	09/17/10	K		
5. -BlackRock Low Duration Bd									
6. -Brandywine									
7. -DFA Emerging Mkts Core Equity					Sold (part)	04/29/10	J	C	
8. -DFA Intl Value					Buy (add'l)	04/29/10	J		
9. -DFA one year fixed									
10. -DFA US Large Cap Value									
11. -DFA U.S. Micro Cap					Buy (add'l)	04/29/10	J		
12. -DFA US Small Cap Value									
13. -Dodge & Cox stock									
14. -Federated 1-3 year US Gov't Sec.					Sold	10/29/10	K	A	
15. -Federated Gov. Ultrashort Duration					Buy	11/01/10	K		
16. -First Eagle Overseas									
17. -Hotchkis & Wiley Large Cap Value									

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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18. -Hotchkis & Wiley Mid-Cap Value					Sold (part)	04/29/10	J	A	
19. -Janus Fund									
20. -Janus Overseas Fund									
21. -Metropolitan West Total Return					Buy (add'l)	04/29/10	J		
22. -Morgan Stanley Inst Emerging Markets									
23. -Morgan Stanley Inst International Equity									
24. -Royce Opportunity									
25. -Royce Value Plus									
26. -Schwab Adv Cash Reserv Prem & Cash									
27. -Third Avenue Intl Value									
28. -Thornburg Intl Value									
29. -Turner Small Cap Equity I					Sold	09/16/10	K		
30. -Westcore Intl Frontier									
31. -Westcore Mid-Cap Opportunity									
32. -Westcore Mido Growth									
33. -William Blair International Growth					Buy	08/12/10	K		
34. -William Blair Lg Cap Growth									

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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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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35. -William Blair Intl Sml Cap Growth									
36.									
37. IRA #2	A	Dividend	L	T					
38. -FirstEagle Global Class I									
39. -Perkins Mid Cap Value					Buy	04/29/10	J		
40. -Schwab Adv Cash Reserv Prem & Cash									
41. -Thornberg Value Fund					Sold	04/29/10	J	C	
42. -William Blair Growth									
43.									
44. IRA #3	B	Dividend	M	T					
45. -Artio Int'l Equity Fund					Sold	08/11/10	J	A	
46. -Baron Growth					Buy	09/17/10	J		
47. -DFA Emerging Markets Core Equity									
48. -DFA Intl Value									
49. -DFA One Yr Fixed									
50. -Federated 1-3 Yr. U.S. Gov't Sec.					Sold	10/29/10	K	A	
51. -Federated Gov Ultrashort Duration					Buy	11/01/10	K		

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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☐ 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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. -Hotchkis & Wiley Large Cap Value									
53. -Janus Overseas					Buy	08/12/10	J		
54. -Metropolitan West Total Return									
55. -Morgan Stanley Int'l Equity									
56. -Royce Opportunity Fund									
57. -Royce Value Plus									
58. -Schwab Adv Cash Reserv Prem & Cash									
59. -Third Ave Intl Value									
60. -Turner Core Growth									
61. -Turner Small Cap Equity					Sold	09/16/10	J	A	
62. -Westcore Mid Cap Opportunity									
63. -Westcore Midco Growth									
64.									
65. IRA #4	A	Dividend	K	T					
66. -Adams Harkness Small Cap Growth									
67. -Brandywine Fund									
68. -Dodge & Cox stock									

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69. -Morgan Stanley Int'l Equity									
70. -Schwab Adv Cash Reserv Prem & Cash									
71.									
72. Artio Int'l Equity Fund		None			Sold	08/11/10	K	A	
73. Baron Growth		None	K	T	Sold (part)	04/29/10	K	C	
74. Beckman Coulter	A	Dividend	K	T					
75. Coca Cola	B	Dividend	L	T					
76. DFA Emerging Markets Core Equity	A	Dividend	K	T	Sold (part)	04/29/10	J	C	
77. DFA Short Term Muni Bond I	B	Dividend	L	T					
78. DFA Tax Managed Intl Value	A	Dividend	K	T					
79. DFA Tax Mgd US Mktwide Value	A	Dividend	K	T					
80. DFA Tax Mgd US Targeted Value	A	Dividend	K	T					
81. DFA US Micro Cap	A	Dividend	J	T					
82. Dodge & Cox Stock	A	Dividend	J	T	Sold (part)	04/29/10	J	A	
83. Federal Nat'l Mortgage Assoc.		None	J	T					
84. Federated Short Term Muni Bond Fund	B	Dividend	L	T	Buy (add'l)	01/28/10	K		
85.					Sold (part)	04/29/10	J	A	

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86. First Eagle Overseas CL1	A	Dividend	K	T					
87. General Electric - common stock	A	Dividend	K	T					
88. GlaxoSmithKline	B	Dividend	K	T					
89. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T	Buy (add'l)	04/29/10	K		
90. Hotchkis & Wiley Mid Cap Value	A	Dividend	K	T	Buy (add'l)	04/29/10	K		
91. Janus Fund	A	Dividend	K	T					
92. Janus Mid Cap Value	A	Dividend			Sold	04/29/10	J	A	
93. Janus Overseas Fund	A	Dividend	K	T					
94. McDonalds Corp.	A	Dividend	K	T					
95. Metropolitan West Total Return	D	Dividend	L	T	Buy (add'l)	01/28/10	J		
96. Morgan Stanley Int'l Equity	A	Dividend	K	T					
97. Royce Opportunity Fund		None	K	T					
98. Schwab Money Market & Cash	A	Dividend	K	T					
99. Sound Shore	A	Dividend	J	T	Sold (part)	04/29/10	J	A	
100. Third Avenue Intl Value	A	Dividend	L	T	Buy (add'l)	04/29/10	J		
101. -Thornburg International Value	A	Dividend	K		Buy	08/12/10	K		
102. -Thornburg Limited Term Muni	A	Dividend	K		Buy	04/29/10	K		

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103. Turner Core Growth	A	Dividend	K	T					
104. Turner Small Cap Equity		None			Buy	04/29/10	K		
105.					Sold	09/16/10	K	A	
106. Wal-Mart Stores, Inc.	A	Dividend	K	T					
107. Westcore Intl Frontier Fund	A	Dividend	K	T					
108. Westcore Mid Cap Value	A	Dividend	K	T					
109. Westcore Midco Growth		None	K	T					
110. William Blair Large Cap Growth	A	Dividend	K	T					
111. William Blair Mid Cap		None	K	T					
112. William Blair Small Cap		None	K	T	Buy	09/17/10	K		
113.									
114. Rental property in Ocean City, NJ (2000 - \$645,000)	E	Rent	P1	S					
115.									
116. State Street Institutional Reserve	A	Dividend			Distributed (part)	07/15/10	J	A	
117.					Distributed	09/15/10	J	A	
118.									

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

Part IV. REIMBURSEMENTS

As First Lady of the Commonwealth of Pennsylvania, I have founded the Pennsylvania Coalition for Representative Democracy (PennCORD), which is committed to improving civic learning for students in grades K-12. The other founding partners of the coalition include the Pennsylvania Department of Education, the Pennsylvania Bar Association, and the National Constitution Center. Travel in and around Pennsylvania for PennCORD is paid for by the Commonwealth or PennCORD; transportation is via state owned car, bus, or plane.

Part VII. INVESTMENTS AND TRUSTS

The item listed in Section VII, on line 116, is an investment asset of the Estate of Gerry Harkavy, Deceased, of which I am the Executrix. Funds were distributed to the beneficiaries on 7/15 and 9/15, and estate was closed in 2010.

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04/28/2011

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/ Marjorie O. Rendell**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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
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