

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Gardner, James, Knoll	2. Court or Organization Eastern District of PA	3. Date of Report 07/06/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2009 to 12/31/2009
7. Chambers or Office Address Edward N. Cahn U.S. Courthouse 504 W. Hamilton Street, #4701 Allentown, PA 18101	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. Officer, Director	Allentown Symphony Association
2. Director	Boys and Girls Club of Allentown, Inc.
3. Director	Police Athletic League, Inc.
4. General Partner (passive investment in Subchapter "S" Corporation)	1/6 share of Rental Property #1
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. 2002	State Employees Pension Fund; retirement pension for former judicial position, includes medical insurance and long-term care benefits, no control
2.	
3.	

RECEIVED
2009 JUL 12 A 8:43
JUDICIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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. 2009	State Employees Pension Fund reported in Part II (fixed benefits from a vested pension plan)	\$67,455.60
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. 2009	self-employed piano teacher
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. The New York Intellectual Property Law Association (NYIPLA)	March 27-28, 2009	New York City, NY	86th Annual Dinner	Transportation, Food and Hotel
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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. Johnson Capital	1/6 share Mortgage on Rental Property #1, Torrence, California (Part VII, line 1)	O
2. Chase Card Services	Credit Card (Visa)	J
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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. Rental Property #1, Torrence, California (1997 \$533,333)	C	Rent	O	Q					
2. Time Share #1, Williamsburg, Virginia (1999 \$18,700)	C	Rent	K	R					
3. Sovereign Bank Accounts	A	Interest	K	T					
4. IRA #1 (Evergreen Foundation Fund Class B)	A	Dividend			Redeemed	08/27/09	J	A	N/A
5. Brokerage Account #1:									
6. CITIBANK NA South Dakota- Bank Deposit Program	A	Interest	K	T					
7. Disney - Common Stock (Y)									
8. LM* Clearbridge Apprec. Fd. Cl. A - Mut. Fd. (See Part VIII)	A	Dividend	J	T					
9. Calamos Convertible & High Income Fund - Closed End Fund	A	Dividend	J	T					
10. Wells Fargo & Company - Common Stock	A	Dividend	J	T					
11. Wells Fargo Company - Corporate Bond	A	Int./Div.	J	T					
12. Calamos Strategic Total Return Fund - Closed End Fund	B	Dividend	J	T					
13. Luzerne County PA Water Revenue Bond	A	Interest			Full Call	12/01/09	J		N/A
14. Eaton Vance Tax Eqty. Inc. Fd.- Closed End Fund	B	Dividend	J	T					
15. NuStar Energy L.P. - Common Stock (See Part VIII)	A	Dividend	J	T					
16. BT Group PLC ADR - USD - Common Stock (See Part VIII)	A	Dividend	J	T					
17. BlackRock Global Allocation Fund - Mutual Fund	A	Interest	J	T					

*LM = Legg Mason

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 I11 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 I12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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)
18. BlackRock Global Allocation Fund - Mutual Fund	A	Interest	J	T	Buy	01/15/09	J		N/A
19.	A	Interest	J	T	Buy	02/13/09	J		N/A
20.	A	Interest	J	T	Buy	03/13/09	J		N/A
21.	A	Interest	J	T	Buy	04/15/09	J		N/A
22. (See Part VIII)	A	Interest	J	T	Buy	05/15/09	J		N/A
23. CITIBANK NA-NV *C* - Certificate of Deposit	A	Interest			Matured	04/22/09	K		N/A
24.		None	J	T	Buy	07/14/09	J		N/A
25.	A	Interest			Matured	08/19/09	K		N/A
26. Compass Bank-AL - Certificate of Deposit	A	Interest			Matured	06/17/09	K		N/A
27. TotalBank-FL - Certificate of Deposit	A	Interest			Matured	01/09/09	K		N/A
28. GE Money Bank-UT - Certificate of Deposit	A	Interest			Matured	02/06/09	K		N/A
29. Intel Corporation - Common Stock	A	Dividend	J	T	Buy	07/08/09	J		N/A
30. McDonalds Corporation - Common Stock	A	Dividend	J	T	Buy	07/08/09	J		N/A
31. Merck & Company, Inc. - Common Stock	A	Dividend	J	T	Buy	07/08/09	J		N/A
32. Teva Pharmaceutical Industries - Common Stock	A	Dividend	J	T	Buy	07/08/09	J		N/A
33. Baron Growth Fund-Mutual Fund		None	J	T	Buy	07/09/09	J		N/A
34. Eaton Vance Large-Cap Value Fund Class A - Mutual Fund	A	Dividend	J	T	Buy	07/09/09	J		N/A

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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. Janus Forty Class S - Mutual Fund		None	J	T	Buy	07/09/09	J		N/A
36. Lazard Emerging Markets Port Fund - Mutual Fund	A	Dividend	J	T	Buy	07/09/09	J		N/A
37. Pimco Total Return Fund Class D - Mutual Fund	A	Dividend	J	T	Buy	07/09/09	J		N/A
38.	A	Dividend	J	T	Buy	08/21/09	J		N/A
39. Pimco Commodity Real Return Fund Class D - Mutual Fund	A	Dividend	J	T	Buy	07/09/09	J		N/A
40. T Rowe Int'l Bond Fund - Mutual Fund	A	Dividend	J	T	Buy	07/09/09	J		N/A
41.	A	Dividend	J	T	Buy	08/21/09	J		N/A
42. Royce Premier Fund - Mutual Fund		None	J	T	Buy	07/09/09	J		N/A
43. West Perry Schl. Dist. Bond - Municipal Bond		None	K	T	Buy	12/17/09	K		N/A
44. New York Community Bank-NY - Certificate of Deposit	A	Interest	J	T	Buy	07/14/09	J		N/A
45. Branch Banking and Trust Co. - Certificate of Deposit	A	Interest	J	T	Buy	07/14/09	J		N/A
46. Midfirst Bank-OK - Certificate of Deposit	A	Interest	J	T	Buy	09/15/09	J		N/A
47. End of Brokerage Account #1									
48. Brokerage Account #2 (Custodial Account #1) redeemed 5/20/04									
49. Brokerage Account #3 (Custodial Account #2) redeemed 8/28/07									
50. Brokerage Account #4:									
51. General Electric Corporation. - Common Stock (Y)									

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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)
52. Johnson & Johnson - Common Stock	A	Dividend	J	T					
53. LM* Clearbridge Apprec. Fd. Cl. B-Mut. Fund (See Part VIII)	A	Dividend	J	T					
54. LM* Clearbridge Cap.& Inc. Fd. Cl. B-Mut. Fd. (See Pt. VIII)	A	Dividend	J	T					
55. CITIBANK NA - Bank Deposit Program (Y)									
56. End of Brokerage Account #4									
57. Time Share #2, Williamsburg, Virginia (2002 \$19,900)	C	Rent	K	R					
58. IRA #2 (CitiGroup Global Markets)									
59. Royce Total Return Fund Consultant - Mutual Fund	A	Dividend	J	T					
60. Van Kampen Equity & Income Class C - Mutual Fund	A	Dividend	J	T					
61. American Funds-Growth Fund of America Class C - Mutual Fund	A	Dividend	K	T					
62. American Balanced Fund Class C - Mutual Fund (See Part VIII)	A	Dividend			Sold	10/09/09	J		N/A
63. Oppenheimer Developing Markets Fund Class C - Mutual Fund	A	Dividend	J	T					
64. Lincoln National Life Insurance Co - Annuity		None	L	T					
65. AF* - Capital World Growth & Income Fund Class C - Mut. Fund	A	Dividend			Sold	03/20/09	J		N/A
66. Lord Abbett America's Value Fund Class C - Mutual Fund	A	Dividend	J	T					
67. Government National Mortgage Association Class JB - Bond	B	Interest	K	T					
68. CITIBANK NA South Dakota - Bank Deposit Program	A	Interest	J	T					

*LM = Legg Mason

*AF = American Funds

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other			
3. Value Method Codes (See Column C2)				T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting
Gardner, James, Knoll

Date of Report
07/06/2010

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)
69. Cisco Systems Inc. - Common Stock		None	J	T					
70. Manitowoc Co., Inc. - Common Stock	A	Dividend			Sold	03/20/09	J		N/A
71. Ginnie Mae Series 2007-30 Class JG - Asset Backed Security	A	Interest			Full Call	01/21/09	J		N/A
72. BlackRock Global Allocation Fund Inc. - Mutual Fund	A	Dividend	K	T					
73. Putnam Asset Allocation Balanced Class C - Mutual Fund	A	Dividend	J	T					
74. Select Sector SPDR TRX Financial - Closed End Fund	A	Dividend			Sold	03/20/09	J		N/A
75. Consolidated Edison Inc. - Common Stock	A	Dividend	J	T	Buy	03/20/09	J		N/A
76. GNMA REMIC-Series 2004-75 Class 75-NG-Asset Backed Security	A	Interest	K	T	Buy	03/20/09	K		N/A
77. Ginnie Mae Series 2009-88 Class KD-Asset Backed Security	A	Interest	J	T	Buy	10/09/09	J		N/A
78. Bond Fund of America Class C - Mutual Fund	A	Dividend	K	T	Buy	10/09/09	K		N/A
79.	A	Dividend	J	T	Buy	10/02/09	J		N/A
80. End of IRA #2									
81. New York Life Whole Life	A	Dividend	L	T					
82. Brokerage Account #5:									
83. AB* Intermed. Bond Fund Class A - Mutual Fund	A	Dividend	J	T					
84. AB* Growth & Income Fund Class A - Mutual Fund	A	Dividend	J	T					
85. AB* Small and Mid Cap Value Fund - Class A - Mutual Fund	A	Dividend	J	T					

*AB = Alliance Bernstein

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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)
86. AB* Int'l Growth Fund Class A - Mutual Fund	A	Dividend	J	T					
87. AB* Growth Fund Class A - Mutual Fund (Y) (See Part VIII)		None	J	T					
88. AB* Small Cap Growth Fd. Cl. A - Mut. Fd. (Y) (See Pt. VIII)		None	J	T					
89. End of Brokerage Account #5									
90. KNBT Bank Accounts	C	Interest	L	T					
91. Rental Property #2, Lehigh County, PA (2006 \$250,000)	D	Rent	M	R					
92. Fun \$ Investment Club - Partnership	A	Dividend	J	T					
93. U.S. Savings Bonds	A	Interest	J	T					
94. Fidelity Mutual Life Insurance Co. - whole life	A	Dividend	J	T					

*AB = Alliance Bernstein

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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

1. Re Part VII, Line 8: Legg Mason Partners Appreciation Fund Class A - Mutual Fund was purchased October 29, 2002 and was reported in each Financial Disclosure Report thereafter in that name through calendar year 2008. In October 2009, the fund changed its name to Legg Mason Clearbridge Appreciation Fund Class A - Mutual Fund and is reported in its new name in the within 2009 Financial Disclosure Report on line 8 (Page 4 of 11).

2. Re Part VII, Line 15: NuStar Energy L.P. - Common Stock was incorrectly designated as Nuster Energy L.P. on Part VII, Line 20 of the 2008 Financial Disclosure Report. I report the asset in Part VII, Line 15 of the within 2009 Financial Disclosure Report (Page 4 of 11). However, I changed the description of the asset in Column A from "Nuster Energy L.P. - Common Stock" to "NuStar Energy L.P. - Common Stock".

3. Re Part VII, Line 16: On January 7, 2008 I sold [REDACTED] of BT Group PLC ADR-USD common stock ("BT Group"). I reported that sale on Part VII, Line 15 of the 2008 Financial Disclosure Report (Page 4 of 10).

On July 9, 2008 I bought [REDACTED] of BT Group common stock. I reported that purchase on Part VII, Line 25 of the 2008 Financial Disclosure Report (Page 5 of 10) (but I erroneously labeled it "Mutual Fund" in Column A). On September 18, 2008 I sold the [REDACTED] of BT Group common stock purchased on July 9, 2008. I reported that sale on Part VII, Line 26 of the 2008 Financial Disclosure Report (Page 5 of 10).

On August 6, 2008 I bought [REDACTED] of BT Group common stock. I reported that purchase on Part VII, Line 27 of the 2008 Financial Disclosure Report (Page 5 of 10) (but I erroneously labeled it "Mutual Fund" in Column A). I retained those [REDACTED] through December 31, 2009 and reported that asset on Part VII, Line 16 of the within 2009 Financial Disclosure Report (Page 4 of 11), together with the income earned during the 2009 reporting period (in Column B) and the gross value at the end of the reporting period (in Column C). However, I changed the description of the asset in Column A from "Mutual Fund" to "Common Stock".

4. Re Part VII, Line 22: Shares of BlackRock Global Allocation Fund - Mutual Fund ("BlackRock") were purchased each month from October 2008 through May 2009. The 2008 purchases were reported on Part VII, Lines 30, 31 and 32 of the 2008 Financial Disclosure Report (Page 5 of 10); and the 2009 purchases are reported in Part VII, Lines 18, 19, 20, 21 and 22 of the 2009 Financial Disclosure Report (Page 5 of 11). The shares purchased in October, November and December 2008 are re-reported in the within 2009 Financial Disclosure Report where they are consolidated in one entry on Part VII, Line 17 (Page 4 of 11). (All of the shares purchased from October 2008 through May 2009 were retained through December 31, 2009 and reported in the within 2009 Financial Disclosure Report as assets held at the end of 2009.

Part VII, Line 32 of the 2008 Financial Disclosure Report lists the BlackRock shares that were purchased on December 15, 2008. Both Columns B(1) and B(2) are blank in the 2008 Report, Line 32. However, Part VII, Column B(2) (Type of Income earned during the reporting period) in Line 32 of the 2008 Report should read: "None".

5. Re Part VII, Line 53: Legg Mason Partners Appreciation Fund Class B - Mutual Fund was purchased August 6, 2002 and was reported in each Financial Disclosure Report thereafter in that name through calendar year 2008. In October 2009, the fund changed its name to Legg Mason Clearbridge Appreciation Fund Class B - Mutual Fund and is reported in its new name in the within 2009 Financial Disclosure Report on line 53 (Page 7 of 11).

6. Re Part VII, Line 54: Legg Mason Partners Capital and Income Fund Class B - Mutual Fund was purchased January 31, 2005 and was reported in each Financial Disclosure Report thereafter in that name through calendar year 2008. In October 2009, the fund changed its name to Legg Mason Clearbridge Capital and Income Fund Class B - Mutual Fund and is reported in its new name in the within 2009 Financial Disclosure Report on line 54 (Page 7 of 11).

7. Re Part VII, Line 62: This asset was incorrectly described as "American Balanced Fund Income Class C - Mutual Fund" in the 2008 Financial Disclosure Report, on Line 57, Column A (Page 7 of 10). It is correctly described as "American Balanced Fund Class C - Mutual Fund" in the within 2009 Financial Disclosure Report on Line 62, Column A (Page 7 of 11).

8. Re Part VII, Line 87: This asset, "Alliance Bernstein Growth Fund Class A - Mutual Fund", was inadvertently omitted from the listing of assets in the 2007 and 2008 Financial Disclosure Reports. It should have been reported in those years with the identical information which appears in Part VII, Line 87, in Columns A, B(2), C(1) and C(2) of the within 2009 Financial Disclosure Report on Page 9 of 11.

9. Re Part VII, Line 88: This asset, "Alliance Bernstein Small Cap Growth Fund Class A - Mutual Fund", was inadvertently omitted from the listing of assets in the 2007 and 2008 Financial Disclosure Reports. It should have been reported in those years with the identical information which appears in Part VII, Line 88, in Columns A, B(2), C(1) and C(2) of the within 2009 Financial Disclosure Report on Page 9 of 11.

10. Re Part VII, Line 90: "KNBT Bank", reported on Line 90 of the within 2009 Financial Disclosure Report (Page 9 of 11), is now known as "KNBT, a Division of National Penn Bank".

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Gardner, James, Knoll

Date of Report

07/06/2010

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

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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544