

UNITED STATES COURT OF APPEALS
FOR THE THIRD CIRCUIT

DOLORES K. SLOVITER
CIRCUIT JUDGE

August 11, 2008

18614 UNITED STATES COURTHOUSE
INDEPENDENCE MALL WEST
PHILADELPHIA, PA. 19106

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

Re: Calendar Year 2007 Filing

Dear Committee on Financial Disclosure:

This is in response to your letter dated July 18, 2008 with respect to my
Financial Disclosure Report dated May 15, 2008.

You correctly surmised that the salary listed of \$10,392 was the annual
income received in 2007 from my teaching for Temple University.

With respect to purchases listed in Part VII, it was my earlier understanding
that the Value Code of purchases should be listed in Column C. Now that you have
advised me that they should be in Column D(3), please consider this as an amendment so
that the Value Codes listed for each in Column C, on page 1, entry 2, page 3, entry 5,
page 4, entry 2, page 7, entries 4 and 5, page 8, entry 5, and page 10, entry 2, are
transferred to Column D(3).

Sincerely,

Dolores K. Sloviter

DKS/mv

Enclosures (original & 3 copies of letter)

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**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2007**

*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) SLOVITER, DOLORES K.	2. Court or Organization United States Court of Appeals for the Third Cir.	3. Date of Report 5/15/08
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/07 to 12/31/07
7. Chambers or Office Address 18614 United States Courthouse 601 Market Street Philadelphia, PA 19106	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.	Trustee	Trust # 1
2.		
3.		
4.		
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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FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

DOLORES K. SLOVITER

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5/15/08

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. Monthly Salary - 2007	Temple University, Phila., PA - Salary	\$10,392
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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Name of Person Reporting

Dolores K. Sloviter

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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.			
2.			
3.			
4.			
5.			

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Name of Person Reporting

DOLORES K. SLOVITER

Date of Report

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1.	<u>SEE ATTACHED PAGES 1</u> to 10								
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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 = \$5,001 - \$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)					

VII. INVESTMENTS AND TRUSTS -- income, value, transactions

A.	B.	C.	D.						
Description of Assets	Income during period		Gross Value at end of period		Transactions during period				
						<u>If not exempt from disclosure</u>			
Place "(X)" after each asset exempt prior disclosure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
AT&T - com. stock	D	Div.	M	T					
Beneficial Mutual Bancorp - com. stock	None		J	T	Purch.	7/13			
Comcast CMCSA - com. stock (held as Trustee)	None		J	T					
Exelon - com. stock	C	Div.	M	T					
GE - com. stock	C	Div.	M	T					
T&T Industries - com. stock	A	Div.	J	T					

Income/Gain Codes: A = \$1,000 or less B = \$1,001 to \$2,500
C = \$2,501 to \$5,000 D = \$5,001 to \$15,000 E = \$15,001 to \$50,000
F = \$50,001 to \$100,000 G = \$100,001 to \$1 million H = over \$1,000,000

Value Codes: J = \$15,000 or less K = \$15,001 to \$50,000
L = \$50,001 to \$100,000 M = \$100,001 to \$250,000 N = \$250,001 to \$500,000
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Value Method Codes: Q = Appraisal R = Cost (real estate only)
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions

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Description of Assets	Income during period		Gross Value at end of period		Transactions during period				
					<u>If not exempt from disclosure</u>				
Place "(X)" after each asset exempt prior disclosure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
HanesBrand, Inc. - com. stock	None		J	T					
Hartford Fin. Services - com. stock	A	Div.	K	T					
PSEG - (Exelon merger called ASO)	A	Div.	K	T					
Rayonier - com. stock	A	Div.	J	T					
Sara Lee - com. stock	A	Div.	J	T					

VII. INVESTMENTS AND TRUSTS -- income, value, transactions

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Vanguard Mun. Bond Funds	G	Div. & cap. gain	P	T	see VIII				
Vanguard Windsor II	F	Div. & cap. gain	O	T	see VIII				
Vanguard Star Fund	C	Div. & cap. gain	L	T					
Vanguard 500 Index Fund	B	Div.	M	T					
Allegheny Higher Ed. 4.5%, '22	None		J	T	Purch.	8/15			

VII. INVESTMENTS AND TRUSTS -- income, value, transactions

A.	B.	C.	D.						
Description of Assets	Income during period		Gross Value at end of period		Transactions during period				
						<u>If not exempt from disclosure</u>			
Place "(X)" after each asset exempt prior dis- closure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month- Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Iden- tity from buyer/ seller
Bucks County W & S, 5%, '22	A	Int.	J	T					
Chambersburg S.D., 4.6%, '25	None		K	T	Purch.	6/22			
Dauphin Cty., 4.4%, '19	A	Int.	J	T					
Dauphin Cty., 4.5%, '26	A	Int.	J	T					
Del. Pa. & NJ Riv., 5.4%, '14	A	Int.	J	T					

1. Income/Gain Codes: A = \$1,000 or less B = \$1,001 to \$2,500
C = \$2,501 to \$5,000 D = \$5,001 to \$15,000 E = \$15,001 to \$50,000
F = \$50,001 to \$100,000 G = \$100,001 to \$1 million H = over \$1,000,000

2. Value Codes: J = \$15,000 or less K = \$15,001 to \$50,000
L = \$50,001 to \$100,000 M = \$100,001 to \$250,000 N = \$250,001 to \$500,000
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3. Value Method Codes: Q = Appraisal R = Cost (real estate only)
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions

A.	B.		C.		D.				
Description of Assets	Income during period		Gross Value at end of period		Transactions during period				
					<u>If not exempt from disclosure</u>				
Place "(X)" after each asset exempt prior disclosure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
Greater Johnstown, 5%, '08	A	Int.	J	T					
Lower Merion S.D., 4.8%, '25	A	Int.	K	T					
Lower Merion Twp. 5.125%, '18	B	Int.	K	T					
Luzerne, 5.6%, '16	A	Int.		T	Redeem	12/15	J	None	
Muhlenberg, PA, 5%, '23	A	Int.	K	T					
Northeastern York, 4.5%, '26	B	Int.	K	T					

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Place "(X)" after each asset exempt prior disclosure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	<u>If not exempt from disclosure</u>			
						Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
Pa. St. Higher Ed. Fac. Auth., 5.25%, '10	A	Int.	J	T					
Penna. Inter-govt'l, 5 1/4%, '17	A	Int.	J	T					
Penna., 5 3/4%, '18	B	Int.	K	T					
Pa. Higher Ed., 6 1/8%, '10	A	Int.	J	T					
Pa. Turnpike, 5% '23	A	Int.	J	T					

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Pa. Turnpike, 5%, '23	A	Int.	J	T					
Pa. 4th Series, 4.5%, '24	A	Int.	K	T					
Pa. Turnpike, 4.75%, '27	A	Int.	J	T					
Pa. First Series B, 4.375%, '27	None		K	T	Purch.	5/23			
Pa. St. Pub. Sch. Bldg., 4.3%, '27	A	Int.	J	T	Purch.	4/6			

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Pa. St. Ed. Fin. A., 5.625%, '27	B	Int.		T	Redeem	6/1	K	A	
Phila. Parking, 5.125%, '24	A	Int.	J	T					
Pittsburgh, 5%, '21	A	Int.	J	T					
Pleasant Valley, Pa., 5.1%, '12	A	Int.		T	Redeem	9/1	J	None	
Somerset S.D., 4.2%, '22	A	Int.	K	T	Purch.	4/11			

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Southeast Delco S.D., 4.30%, '26	A	Int.	K	T					
Springfield, 5.2%, '17	A	Int.	J	T					
Susquehanna Twp. Auth. Pa., 6%, '13	A	Int.	J	T					
Upper Dublin, 5%, '14	A	Int.	J	T					
Wilkes-Barre Area S.D., 5.25%, '14	A	Int.		T	Redeem	4/1	J	None	

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						Date: Month- Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Iden- tity from buyer/ seller
Wachovia Accts.	A	Int.	K	T					
Temple University Charitable Gift Annuity	A	Int.	K	T	Purch.	9/19			

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Name of Person Reporting	Date of Report
Dolores K. Sloviter	5/15/08

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

The Vanguard Municipal Bond Funds in VII have checking account features and were used for various transactions throughout the year.

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Name of Person Reporting

Dolores K. Sloviter

Date of Report

5/15/08

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