

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) Aldisert, Ruggero J.	2. Court or Organization Third Circuit	3. Date of Report 05/11/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 120 Cremona Drive Suite "D" Santa Barbara CA 93117-5511	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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Emeritus Trustee	University of Pittsburgh
2. Board of Visitors, Law School	University of Pittsburgh
3.	
4.	
5.	

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U.S. CIRCUIT COURT OF APPEALS
THIRD CIRCUIT

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2/20/09	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$9,775.85
2. 7/20/09	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$3,236.00
3. 12/3/09	AuthorHouse (Publications Royalties)	\$3,819.25
4. 12/3/09	AuthorHouse (Publications Royalties)	\$15.75
5. 3/20/09	Thompson Reuters (Publications Royalties)	\$1,641.78
6. 8/19/09	Yao Enterprises (Publications Royalties)	\$73.58
7.		

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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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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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. Blair Cty Bond	A	Interest			Redeemed	07/01/09	J		
2. Santa Barbara Bank & Trust Co.	A	Interest	L	T					
3. Cantella & Co (IRA)	B	Dividend	K	T					
4. ---Columbia Marsico 21stFund	A	Dividend			Sold	11/25/09	J		
5. ---Davis New York Venture									
6. ---Van Kampen Equity & Income									
7. ---Alliance Bernstein Balanced									
8. ---Growth Fund America Inc.									
9. --Pimco Commodity Real Return	A	Dividend			Sold	06/20/09	J		
10. --Pimco Global Multi-Asset	A	Dividend	J		Buy	11/25/09	J		
11. --Columbia Acorn, class C	A	Dividend	J		Buy	11/25/09	J		
12.									
13. MUTUAL FUNDS									
14. Gabelli Asset	A	Dividend	K	T					
15. Davis New York Venture	A	Dividend	K	T					
16. Columbia Acorn Fund Cl A	A	Dividend	K	T					
17. American Funds: Growth Fund of America	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 = \$55,000,001 - \$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) 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. American Funds:Tax Exempt CA "F"	A	Interest	K	T					
19. Royce Total Return	A	Dividend	J	T					
20. First Eagle Overseas Fund	A	Dividend	K	T					
21. Franklin Mutual Recovery Fd		None			Sold	06/30/09	J		
22. Alliance Bernstein Muni Income	A	Interest	K	T					
23. Diamond Hill Long-Short Fund	A	Interest	J	T					
24. Bear Stearns Temp Fund	A	Dividend			Sold	06/30/09	J		
25. Van Kampen Strategic Muni		None			Sold	06/30/09	J		
26. American Funds Fundamental Invs Inc F-1	A	Dividend	K	T					
27. Columbia FDS Ser Tr		None			Sold	6/30/09	J		
28. Alliance-Bernstein Small/MD	A	Dividend	J	T					
29. Pimco FDS		None			Sold	06/30/09	J		
30. Van Kampen Equity & Income		None			Sold	06/30/09	J		
31. Van Kampen Harbor	A	Dividend	J	T	Buy	07/20/09	J		
32. VanKampen Comstock A	A	Dividend	K	T	Buy	07/20/09	K		
33. Van Kampen High Yield Muni CA	A	Interest	L	T	Buy	07/20/09	L		
34. Columbia Marsico 21st Cent A	A	Dividend	J	T	Buy	07/20/09	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

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

T = Cash Market

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				
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35. Van Kampen Intern-Trdm Muni	A	Interest	K	T	Buy	09/20/09	K		
36. PIMCO Unconstrained Bond A	A	Interest	K	T	Buy	09/20/09	K		
37. Block Rock Liquidity Fed-Fund Select	A	Dividend	J	T	Buy	09/20/09	J		
38.									
39.									
40.									
41.									
42. COMMON STOCKS									
43. Johnson & Johnson	A	Dividend	K	T					
44. Bank of New York Mellon Corp	A	Dividend	K	T					
45. Pfizer	A	Dividend			Sold	05/11/09	J	B	
46. General Electric	A	Dividend	K	T					
47. IShares FTSE/Xinhau China 25 Fund	A	Dividend	J	T					
48. Schlumberger LTD Antilles	A	Dividend	J	T					
49. Apple, Inc.		None	J	T					
50.									
51. INVESTMENT CLUB Mission Impossible Partners	C	Dividend	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$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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52. ---Berkshire Hathaway									
53. ---Exxon Mobil Corp									
54. ---Schlumberger Ltd		None			Sold	11/20/09	J		
55. ---Apple, Inc									
56. ---Nucor Corp.									
57. ---United Technologies		None			Sold	01/20/09	J		
58. --- Bank of America									
59. ---Chesapeake Energy Corp									
60. --Alcoa	A	Dividend	J		Buy	01/20/09	J		
61. --Abbott labs	A	Dividend	J		Buy	01/20/09	J		
62. --BP PLC ADR	A	Dividend	J		Buy	03/10/09	J		
63. --Caterpillar Inc	A	Dividend	J		Buy	03/10/09	J		
64. ---Cliffs Nat Res Inc	A	Dividend	J		Buy	10/20/09	J		
65. --Ford Motor Co	A	Dividend	J		Buy	11/30/09	J		
66. ---Johnson & Johnson	A	Dividend	J		Buy	11/30/09	J		
67. ---Massey Energy Co.	A	Dividend	J		Buy	11/30/09	J		
68. ---Annaly Capital Mang. Co	A	Dividend	J		Buy	11/30/09	J		

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69.									
70.									
71. MONEY MARKET FUNDS									
72. UBS Financial Services	A	Interest			Closed	01/05/09	J		
73. Fidelity Muni Money Market	A	Interest	L	T	Buy (add'l)	01/05/09	J		
74. FedFund Select Shares	A	Interest	J		Merged (with line 75)	01/01/09	J		
75. Cantella & Co. Privileged Access Gold Account	A	Int./Div.	J	T					
76.									
77.									
78. LIFE INSURANCE POLICIES									
79. Phoenix Whole Life	A	Dividend	J	T					
80. Transamerica Life Companies Whole Life	A	Dividend	K	T					
81. Penn Mutual Whole Life	A	Dividend	J	T					
82.									

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

In Section VII I previously erroneously listed line 74 as a separate entity. Rather line 75 is the name of the account; 74 is the asset in the account. I will no longer make reference to Line 74

Line 17: Added family of funds, to wit, American Funds: Growth Funds of America.

Line 28: Added family of funds, to-wit, "American funds: Fundamental Inv. Inc. F-1."

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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.



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