

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Cowen, Robert E.	2. Court or Organization U.S. Court of Appeals 3rd Cir.	3. Date of Report 05/04/2010
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 402 E. State Street Room 207 Trenton, NJ 08608	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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2009	State of New Jersey
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. New York Intellectual Property Law Assn.	March 27 - 28, 2009	New York, NY	Dinner	Dinner in Honor of the Federal Judiciary Meals, Hotel Travel Expenses
2. FREE, Terrorism, Civil Liberty and National Security	August 9 - 13, 2009	Gallatin Gateway, MT	Educational Seminar	Transportation, Food and Lodging
3. Federal Judicial Center, Law and Media Seminar	September 23 - 25, 2009	Syracuse, NY	Educational Seminar	Transportation, Food and Lodging
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 I (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. Alcoa (Common Stock)	A	Dividend	J	T					
2. Applied Materials	A	Dividend	J	T					
3. AT & T (Common Stock)	A	Dividend	J	T					
4. Chevron Texaco Corp. (Common Stock)	A	Dividend	K	T					
5. Chubb Corp. (common stock)	A	Dividend	J	T	Buy	04/03/09	J		
6. Cisco Systems (Common Stock)		None	K	T					
7. Colgate Palmolive (Common Stock)	A	Dividend	K	T					
8. Conoco Phillips (Common Stock)	A	Dividend	J	T					
9. Deere & Co. (Common Stock)	A	Dividend	J	T					
10. Dell Computer (Common Stock)		None	J	T					
11. Dodge & Cox International Stock Fd. (Mutual Fund)	A	Dividend	K	T					
12. EMC Corp. (Common Stock)		None	J	T					
13. Emerson Electric (Common Stock)	A	Dividend	K	T					
14. ExxonMobil (Common Stock)	A	Dividend	K	T					
15. FedEx Corp. (Common Stock)	A	Dividend	J	T					
16. General Electric (Common Stock)	B	Dividend	K	T					
17. Intel Corp. (Common Stock)	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 \$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	

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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 I (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. Ishares, DJ Select Index FD		None	J	T					
19. Johnson & Johnson (Common Stock)	A	Dividend	K	T					
20. JP Morgan Chase (Common Stock)	A	Dividend	K	T					
21. Kellogg (Common Stock)	A	Dividend	J	T	Buy	04/03/09	J		
22. McDonalds Corp. (Common SStock)	A	Dividend	J	T					
23. Medtronic Inc. (Common Stock)	A	Dividend	J	T					
24. Microsoft Corp. (Common Stock)	A	Dividend	K	T					
25. Nokia (Sponsored ADRs)	A	Dividend	J	T					
26. Pfizer, Inc. (Common Stock)	A	Dividend	J	T					
27. Proctor & Gamble (Common Stock)	A	Dividend	J	T					
28. Public Service Enterprise Group Inc. (Common Stock)	A	Dividend	J	T					
29. State Street Corp. (Common Stock)	A	Dividend	J	T	Buy	04/03/09	J		
30. Target Corp. (Common Stock)	A	Dividend	J	T					
31. United Technologies (Common Stock)	A	Dividend	J	T					
32. Trust #1	D	Int./Div.	N	T					
33. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					
34. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					

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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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. Merrill-Lynch Capital Trust (Preferred Stock)	A	Interest	J	T					
36. N.J. Econ. Dev. Auth. Water Fac. 11-01-34	A	Interest	J	T					
37. N.J. Healthcare Fac. 7-01-19	A	Interest	J	T					
38. N.J. Educational Fac. 7-01-34	A	Interest	K	T					
39. N.J. Healthcare Kennedy Health Center 7-01-31	A	Interest	J	T					
40. Middlesex Cty NJ CTFs 6-15-23	A	Interest	J	T					
41. N.J. Healthcare Fac. St. Barnabas 7-01-28	A	Interest	J	T					
42. Port Auth. NY & NJ 7-15-26	A	Interest	J	T					
43. N.J. State Higher Ed. 6-01-30	A	Interest	J	T					
44. Board of Education, Princeton Regional Schools	B	Interest	K	T					
45. Indiana State Housing 7-01-26	A	Interest	J	T					
46. N.J. Environmental Infra. Tr. 9-01-19	B	Interest	K	T					
47. Ft. Lee NJ Impt. G/O 2-15-15	A	Interest	K	T					
48. Antelope Valley	A	Interest	J	T					
49. Antelope Valley	A	Interest	J	T					
50. Cumberland Cty Gen. Impt G/O	A	Interest	J	T					
51. Oregon St. Dept. Admin.	A	Interest	K	T					

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
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
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
I12 = 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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52. Lee Cty FL	A	Interest	J	T	Buy	01/21/09	J		
53. Passaic Cty N.J. College 11-01-19	A	Interest	J	T					
54. Rogers, AK School District	A	Interest	J	T	Buy	07/22/09	J		
55. Federal Home Loan 4-02-14	A	Interest			Redeemed	01/13/09	J		
56. GMAC 9-15-11	A	Interest	J	T					
57. Oppenheimer NJ Muni Bd. CL A	A	Interest	J	T					
58. Evergreen Municipal Bond Fund CL B	A	Interest	J	T					
59. Evergreen Municipal Bond Fund CL C	A	Interest	J	T					
60. American Funds Tax Exempt Bond Fd. CL C	A	Interest	J	T					
61. Certificate of Deposit	A	Interest	J	T					
62. Certificate of Deposit	A	Interest			Matured	09/23/09	J		
63. Treasury Notes - Various Maturities	D	Interest	M	T					
64. IRA #1	B	Int./Div.	K	T					
65. - Blackrock Funds Large Cap CL A	A	Dividend	J	T					
66. - ATM Global Real Estate FD	A	Dividend	J	T	Buy	09/17/09	J		
67. - Calamos Growth FD	A	Dividend			Sold	10/21/09	J		
68. - Delaware Group Adv. FDs	A	Dividend	J	T	Buy	09/17/09	J		

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	
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69. Morgan Stanley Instl. FD	A	Dividend	J	T	Buy	09/16/09	J		
70. Park Ave Portfolio Emerg.	A	Dividend	J	T	Buy	09/21/09	J		
71. - DWS Dreman Small Cap FD	A	Dividend	J	T					
72. - Harbor International	A	Int./Div.	J	T					
73. - Hotchkiss & Wiley FIDs	A	Dividend	J	T					
74. - John Hancock Classic Value FD	A	Dividend	J	T					
75. - Kinetics Paradigm FD - INST		Dividend			Sold	09/16/09	J		
76. - Pimco FIDs	A	Dividend	J	T	Buy	09/16/09	J		
77. - Legg Mason Value Trust Mutual Fund		Dividend	J	T					
78. - Oppenheimer Intl. Growth	A	Dividend	J	T					
79. - Quantative Group Fd.	A	Dividend	J	T					
80. - RS Investment FDS	A	Dividend			Sold	09/16/09	J		
81. - Security Equity FD	A	Dividend	J	T					
82. - T. Rowe Price Mid Cap FD	A	Dividend	J	T					
83. - Wells Fargo FDS TR Mutual Fund		Dividend	J	T					
84. - Touchstone Large Cap FD		Dividend	J	T					
85. - Cambiar Opportunity FD	A	Dividend	J	T					

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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)					

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86. - Goldman Sacks TR Money Market	A	Interest	J	T					
87. - Alger FDS		Dividend			Sold	09/16/09	J		
88. - Artio Intl.		Dividend	J	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

1. By letter dated September 29, 1989, Chairman Pratt, after receiving Judicial Ethics Committee authority advised me that in Section VII I need only disclose aggregate income and value information for the above-referenced trust.

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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

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