

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) GARTH, LEONARD I.	2. Court or Organization THIRD CIRCUIT COURT OF APPEALS	3. Date of Report 04/05/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. Court of Appeals - Rm. 5040 MLK, Jr. Fed. Bldg. & U. S. Courthouse 50 Walnut Street Newark, NJ 07102	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. Executor of the Estate of Appointed and accepted Executorship consistent with the Code of Conduct for
U.S. Judges. See Part VIII

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. _____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/05/2010

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	Statutory Executor's commission as Executor of the Estate of [REDACTED]	\$26,550.00
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.	
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.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 8

Name of Person Reporting
GARTH, LEONARD I.

Date of Report
04/05/2010

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. Guardian Life Insurance Co. (see Part VIII)	Loan against cash value	J
2. Crown Life Insurance Co. (see Part VIII)	Loan against cash value	J
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/05/2010

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 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. General Electric Common	C	Dividend	K	T					
2. AT&T Inc. Common	A	Dividend	J	T					
3. Exxon Mobil Corp. Common	A	Dividend	K	T					
4. Israel Bonds	A	Interest	J	T					
5. Israel Bonds	A	Interest	J	T					
6. Verizon Common	A	Dividend	J	T					
7. Chase Savings Bank	A	Interest	J	T	Closed	06/09	J	A	See Part VIII
8. Chase Bank Checking	A	Interest	J	T					
9. Dreyfus Municipal Bond Fund	A	Interest			Sold	12/09	J	A	
10. Dreyfus Growth & Income (IRA)	A	Dividend	J	T					
11. AARP Growth & Income Fund (DWS Investments)	A	Dividend	J	T					See Part VIII
12. Dreyfus Growth & Income (IRA)	A	Dividend	J	T					
13. Nuveen Reinvest Acct (NJ Mun)	A	Interest			Sold	12/09	K	A	
14. Nuveen Reinvest Acct (CT Mun)	A	Interest	K	T	Buy	12/09	K		
15. Wachovia (Savings) (Y)					Closed	2008	J	A	See Part VIII
16. Phoenix Common	A	Dividend	J	T					
17. Comcast Common	A	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 = \$250,000.001 - \$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 5 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/05/2010

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. Wachovia (Checking)		None	J	T					
19. Alcatel-Lucent Common	A	Dividend	J	T					
20. Smith Barney (Y)									See Part VIII
21. Bank of America Estate Checking Account	A	Interest			Closed	10/09	K		See Part VIII
22. Capmark Bank Utah - CD (Y)									
23. Discover Bank DE-CD (Y)									
24. Dorall Bank PR - CD (Y)									
25. Eagle National Bank of Miami FL - CD (Y)									
26. First National Bank of Omaha - CD (Y)									
27. Washington Mutual Bank NV - CD (Y)									
28. Proficio Bank Utah (Y)									
29. Park Avenue Bank NY (Y)									
30. Indymac Bank FSB, CA (Y)									
31. Eurobank PR (Y)									
32. Virtus Investment Partners, Inc. Common		None	J	T					
33. FairPoint Communications Common		None	J	T					
34. Guilford Savings Bank, CT CD	A	Interest	L	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

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/05/2010

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-I)	(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. ING Direct CD	A	Interest	K	T					
36. Morgan Stanley Bank CD	A	Interest	K	T					
37. Morgan Stanley Bank CD	A	Interest	K	T					
38. Goldman Sachs CD	A	Interest	K	T					
39. GE Money Bank, Salt Lake City, UT CD	A	Interest	K	T					
40. JB Hanauer Federated Money Market (Y)									
41. Guardian Life Insurance	A	Dividend	J	T					
42. Crown Life Insurance (X)	A	Dividend	J	T					
43. Guilford Savings Bank	A	Interest	J	T					See Part VIII
44. RBC Investments	A	Interest	J	T					See Part VIII

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 = \$250,000.001 - \$500,000.000	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 8

Name of Person Reporting
GARTH, LEONARD I.

Date of Report
04/05/2010

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

Part I The Estate was closed in 2009 by the Final Distribution of Funds held in the Bank of America checking account (See Part VIII, #21)

Part VI #1 I have previously reported this policy as "Owner." I am not the Owner. [REDACTED] is the Owner. I am the Insured.

Part VI #2 I have previously reported this policy as "Owner." I am not the Owner. [REDACTED] is the Owner. I am the Insured.

Part VII #7 Chase Bank Savings. I closed out all the savings and transferred them to the Chase Bank Checking Account (see #8 infra). I do not have any Chase Bank Savings Account remaining. Let me also advise that the reason I havenot supplied the specific dates (although I have in most cases furnished the month and the year), is that the specific date on which the transactions occurred is unavailable to me and it is not anticipated that I will be able to obtain such dates in the future.

Part VII #11 DWS was formerly reported as AARP. AARP Growth & Income Fund is now known as DWS Investments. The same account number remains. I understand that AARP became "Scudder Investments" in 2006 and, thereafter, in 2008 or later, it became DWS Investments.

Part VII #15 Some time during 2008, I closed my savings account at Wachovia by depositing the funds in the Wachovia checking account (see #18 infra).

Part VII #20 Smith Barney was an Estate [REDACTED] Brokerage Account which was closed some time in 2008, with all funds deposited in the Bank of America Estate Checking Account (see #21 infra).

Part VII #21 Bank of America Estate Checking Account. This was the Estate [REDACTED] estate funds were accumulated in this account. In October 2009 the final checks for commissions and to the residuary beneficiaries were paid, as well as the accountant and the Estate lawyer. The Account and Estate were closed.

Part VII #40 JB Hanauer is now known as RBC Investments. In November 2008, concurrent with the sale of our residence, I transferred all my securities to JB Hanauer (now known as RBC Investments) for management. RBC Investments manages my securities and accumulates any cash dividends or sales proceeds in their Federated Money Account.

Part VII #43 Guilford Savings Bank was opened by me in which the interest and other deposits received by me in Connecticut could be deposited. This is distinct from the Guilford Savings Bank CD (see #34 supra) as reported.

Part VII #44 RBC Investments is the successor of JB Hanauer (see #40 supra). RBC Investments now have all of the securities that JB Hanauer had received, as well as any funds received which are deposited in the RBC Investments Federated Money Account.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

GARTH, LEONARD I.

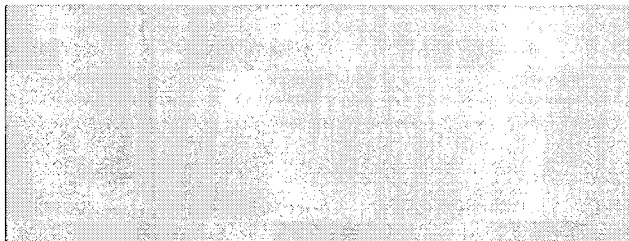
Date of Report

04/05/2010

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.



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