

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Aldisert, Ruggero J.	2. Court or Organization Third Circuit	3. Date of Report 05/18/2009
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, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. EmeritusTrustee	University of Pittsburgh
2. Board of Visitors, Law School	University of Pittsburgh
3.	
4.	
5.	

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 DISCLOSURE OFFICE

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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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. 1/29	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$10,917.11
2. 7/20	Nat'l Institute of Trial Advocacy (Publications Royalties)	\$6,014.97
3. 3/5	AuthorHouse (Publications Royalties)	\$30.75
4. 10/14	AuthorHouse (Publications Royalties)	\$6.90
5. 12/2	AuthorHouse (Publications Royalties)	\$18.40
6. 3/5	Thompson Reuters (Publications Royalties)	\$1,388.92
7. 8/19	Yao Enterprises (Publications Royalties)	\$21.74
8.		

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.				

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BlairCty Bond	A	Interest	J	T					
2. Santa Barbara Bank & Trust Co.	A	Interest	L	T					
3. CANTELLA & CO (IRA)	B	Dividend	K	T					
4. ---Columbia Marsico 21stFund									
5. ---Davis New York Venture									
6. ---Pimco FDS Pac Invt Mgmt Serv		None			Sold	12/5	J		
7. ---Van Kampen Equity & Income									
8. ---Alliance Bernstein Balanced									
9. ---Growth Fund America Inc.									
10. --Pimco Commodity Real Return	A	Dividend	J		Buy	12/5	J		
11.									
12.									
13.									
14. MUTUAL FUNDS									
15. Gabelli Asset	A	Dividend	K	T					
16. Davis New York Venture	A	Dividend	K	T					
17. Columbia Acorn Fund Cl A	A	Dividend	K	T					

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	

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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				
	(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)
18. Growth Fund of America	A	Dividend	K	T					
19. American Funds Tax Exempt "F"	B	Interest	K	T					
20. AMCAP Fund	A	Dividend			Sold	12/5	K		
21. Royce Total Return	A	Dividend	J	T					
22. First Eagle Overseas Fund	A	Dividend	K	T					
23. Van Kamden High Yield Muni	A	Dividend			Sold	12/1	K		
24. Van Kamden Comstock Cl A	A	Dividend			Sold	12/8	K	G	
25. Franklin Mutual Recovery Fd	A	Dividend	K	T					
26. Alliance Bernstein Muni Income	A	Interest	K	T					
27. Diamond Hill Long-Short Fund	A	Interest	J	T					
28. Bear Stearns Temp Fund	A	Interest	J	T					
29. Marsico 21st Century Columbia Funds Scr Tr	A	Dividend			Sold	6/1	K		
30. Pimco Funds Developing Local Mrkt Fd	A	Dividend			Sold	6/1	K		
31. Van Kamden Strategic Muni	A	Interest	K	T	Buy	12/8	K		
32. Fundamental Invs Inc	A	Dividend	K	T	Buy	12/5	K		
33. Columbia FDS Ser Tr	A	Dividend	K	T	Buy	12/5	K		
34. Alliance-Bernstein Small/MD	A	Dividend	J	T	Buy	10/13	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

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

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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				
	(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)
35. Pimco FDS	A	Dividend	J	T	Buy	11/24	J		
36. Van Kampen Equity & Inome	A	Dividend	K	T	Buy	12/8	K		
37.									
38.									
39.									
40. COMMON STOCKS									
41. Johnson & Johnson	A	Dividend	K	T					
42. Bank of New York Mellon Corp	A	Dividend	K	T					
43. Pfizer	A	Dividend	J	T					
44. General Electric	A	Dividend	K	T					
45. IShares FTSE/Xinhau China 25 Fund	A	Dividend	J	T					
46. Schlumberger LTD Antilles	A	Dividend	J	T					
47. Apple. Inc.		None	J	T					
48.									
49. INVESTMENT CLUB									
50. Mission Impossible Partners	A	Dividend							
51. ---Berkshire Hathaway									

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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52. ---Costco Wshl Corp.		None			Sold	5/12	J		
53. ---Exxon Mobil Corp									
54. ---Valero Energy Corp		None			Sold	5/12	J		
55. ---Schlumberger Ltd									
56. ---Apple,Inc									
57. ---Nucor Corp.									
58. ---Western Union		None			Sold	5/12	J		
59. ---FTSE/xinhua China 25		None			Sold	9/15	J		
60. ---Aetna		None			Sold	6/1	J		
61. ---Best Buy Co Inc		None			Sold	5/25	J		
62. ---Boeing Co		None			Sold	5.25	J		
63. ---Cameco Corp Canada		None			Sold	5/25	J		
64. ---Cisco Sysems Inc		None			Sold	4/30	J		
65. ---Citigroup		None			Sold	4/30	J		
66. ---Genetech Inc		None			Sold	7/1	J		
67. ---Pacific Capital Bancorp	A	Dividend			Sold	10/1	J		
68. ---Taubman Centers Inc		None			Sold	7/1	J		

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(See Columns B1 and D4)

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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

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

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

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

3. Value Method Codes

(See Column C2)

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69. ---iShares MSCI Emerging Mkts.		None			Sold	7/1	J		
70. ---United Technologies	A	Dividend	J	T	Buy	7/1	J		
71. --- Bank of America	A	Dividend	J	T	Buy	7/1	J		
72. ---Chesapeake Energy Corp	A	Dividend	J	T	Buy	8/30	J		
73.									
74.									
75.									
76. MONEY MARKET FUNDS									
77. UBS Financial Services	A	Interest	J	T					
78. Bear Stearns Securites	A	Dividend			Sold	5/12	J		
79. FedFund Sektet Shares	A	Dividend	J	T	Spinoff (from line 80)	5/12	J		
80. Cantella & Co. Privileged Access Gold A ccount					Merged (with line 79)				
81. Fidelity California Municipal Money Market	A	Dividend	K	T	Open	4/21	K		
82.									
83. LIFE INSURANCE POLICIES									
84. Phoenix Whole Life	A	Dividend	J	T					
85. Transamerica Life Companies Whole Life	A	Dividend	K	T					

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(See Columns B1 and D4)

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86. Penn Mutual Whole Life	A	Dividend	J	T					
87.									

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

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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