

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 Circuit	3. Date of Report 01/22/2015
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 18614 United States Courthouse 601 Market Street Philadelphia, PA 19106		
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.		

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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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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. AT&T - com. stock	D	Dividend	M	T					
2. Beneficial Mutual Bancorp - com. stock	A	Dividend	J	T					
3. Exelon - com. stock	C	Dividend	L	T					
4. GE - com. stock	B	Dividend	O	T					
5. IT&T Industries - com. stock (new)	A	Dividend	J	T					
6. HanesBrand, Inc. - com. stock	A	Dividend	J	T					
7. Hartford Fin. Services - com. stock	A	Dividend	J	T					
8. PSEG	A	Dividend	K	T					
9. Sara Lee - com. stock, now Hillshire Brands	A	Dividend	J	T	Sold	07/04/12			
10. Hillshire Brands Co.	A	Dividend	J	T	Sold	09/03/14			
11. Exelis	A	Dividend	J	T					
12. Xylem	A	Dividend	J	T					
13. Vanguard Mun. Bond Funds - see VIII	G	Dividend	P1	T					
14. Vanguard Windsor II - see VIII	E	Dividend	O	T					
15. Vanguard Star Fund	B	Dividend	M	T					
16. Vanguard 500 Index Fund	C	Dividend	M	T					
17. Allegheny Higher Ed., 4.5%, '22	A	Interest	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 \$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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☐ 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. Allentown Pa Parking Auth. 5%, '38	B	Interest	J	T					
19. West Mifflin Pa Area S.D. B/E	A	Interest	P1	T	Buy	08/15/13			
20. Chambersburg S.D., 4.6%, '25	B	Interest	K	T					
21. Dauphin Cty., 4.5%, '26	A	Interest	J	T	Sold	09/30/11	K		
22. Dauphin Cty., 4%, '26	B	Interest	K	T					
23. Greater Johnstown, 5%, '19	A	Interest	J	T					
24. Northampton, 5%, '39	A	Interest	K	T					
25. Lower Merion S.D., 4.8%, '25	A	Interest	K	T	Sold	05/15/13			
26. Northeastern York, 4.5%, '26	B	Interest	K	T					
27. Pa. Hsg. Fin. Agency, 4.25, '24	B	Interest	J	T	Buy	10/02/13			
28. Pa. Hsg. Fin. Agency, 4.5%, '24	B	Interest	J	T	Buy	01/15/10	K		
29. Pa. 4th Series, 4.5%, '24	A	Interest	K	T					
30. Pa. St. HFA, 4.5%, '24	A	Interest	K	T					
31. Pa. Turnpike, 4.75%, '27	A	Interest	J	T					
32. Pa. First Series B, 4.375%, '27	A	Interest	K	T					
33. Pa. St. Pub. Sch. Bldg., 4.3%, '27	A	Interest	J	T					
34. Pa. First Series B/E, 4.375%, '28	B	Interest	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 = \$5,000,001 - \$25,000,000	
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35. Pa. Turnpike, 5%, '39	A	Interest	J	T					
36. Pa. Hsg. Fin. Agency, 4.75%, '39	B	Interest	K	T	Sold	10/01/13			
37. Phila. Parking, 5.125%, '24	A	Interest	J	T					
38. Plum Boro Pa/SD 23	A	Interest	K	T	Buy	05/23/13			
39. Reading, 4.45%, '27	B	Interest	K	T					
40. Reading S.D., 4.75%, '38	B	Interest	K	T					
41. Somerset S.D., 4.2%, '22	A	Interest	K	T					
42. formerly Wachovia Accts., now Wells Fargo	A	Interest	K	T					
43. Temple University Charitable Gift Annuity	A	Interest	K	T					
44. Trust # 1 Wachovia Bank/trust expired	F	Interest	O	T	Expired	11/2013			
45. Univ. of Pennsylvania Charitable Gift Annuity	A	Interest	K	T					
46. Allentown Pa Parking Auth. 5%, '38	A	Interest	J	T					
47. Butler Swr Auth. 4.9%	E	Interest	J	T	Sold	08/15/13			
48. Pa. Hg Fin. 4.625%, '31	A	Interest	K	T	Buy	09/23/11	K		
49. Reading Water 5.08, '31	B	Interest	K	T	Buy	11/29/11	K		
50. Uniontown Area SD 4.35%, '34	A	Interest		T			K		
51. Frazier Pa. School District	A	Interest	K	T	Buy	09/05/12	K		

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52. Neshamock Twp. Pa School	B	Interest	L	T	Buy	05/18/12	L	F	
53. Washington Pa Parking Authority 3%, '23	B	Interest	L	T	Buy	05/18/12	L	F	
54. Jeannette Pa School District	C	Interest	L	T	Buy	05/23/12	L	F	
55. Highridge Pa Wtr Auth '24	B	Interest	L	T	Buy	05/18/12	L	A	
56. Midd West Sch District PA	B	Interest	L	T	Buy	05/18/12	L	A	
57. Oley Valley Pa School District	B	Interest	L	T	Buy	05/18/12	L	B	
58. Fairfield Pa Area School	B	Interest	L	T	Buy	05/23/12	L	A	
59. Deer Lakes School District PA	A	Interest	L	T	Buy	05/21/12	L	A	
60. Mon Vly Pa Swr Auth 3% '25	B	Interest	L	T	Buy	05/23/12	L	B	
61. Washington Cnty Pa Ser 3.45% '26	C	Interest	L	T	Buy	05/21/12	L	A	
62. Mifflin Cnty Pa Rfdg	C	Interest	M	T	Buy	05/21/12	M	A	
63.									

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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.

Please note that I had serious back surgery at the end of November 2013. I was very confident about the information I submitted in my earlier Financial Disclosure Reports, but I was in a wheelchair for a considerable amount of time and it was difficult for me to access some of my records. If I determine that there are any misstatements within the information, I will promptly file an amendment.

Below please note the following information to help clarify the discrepancy in my 2013 report.

Cecil Twp. was inadvertently omitted.

Sara Lee shares were converted to Hillshire Brand. In 2012, Sara Lee became DE Master Blenders and then became Hillshire Brand on July 4, 2012. In 2013, I redeemed 672 shares known as Dutch Co./DE Master Blenders, 1 share of Dutch Co for each share of Sara Lee.

In 2013, I redeemed all DE Master Blenders which had been Dutch Co. which was Sara Lee.

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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: s/ **Dolores K. Sloviter**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

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