

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Rendell, Marjorie O	2. Court or Organization USCA - 3CA - Philadelphia	3. Date of Report 5/10/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Active)	5. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address U.S. Court of Appeals 601 Market Street, Room 21613 Philadelphia, PA 19106-1598	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. Chair	Avenue of the Arts, Inc.
2. Director	Regional Performing Arts Center
3. Chair, Board of Overseers	School of Nursing, University of Pennsylvania
4. Board member	Penn Medicine
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	

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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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☐ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1. 2003

City of Philadelphia - pension

2. 2003

University of Pennsylvania - Adjunct (9/03-12/03)

3. 2003

Ballard Spahr - earnings as partner (1/01/03 - 1/20/03)

4. 2003

Commonwealth of Pennsylvania - earnings for services as Governor (1/21/03-12/31/03)

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1. National Conference of Bankruptcy Judges and
Commercial Law LeagueSpeaker at NCBJ Conference 10/15 - 10/18/03 in San Diego, CA - registration, transportation,
good and lodging

2.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☐ **NONE** - (No such reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Tonnesdale-Frankford Country Club	honorary golf membership - See VIII	
2.	West Shore Country Club	honorary golf membership - See VIII	
3.	Blue Ridge Country Club	honorary golf membership - See VIII	

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☐ **NONE** - (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Cape Savings Bank, Cape May, NJ	Construction/permanent loan on rental property	N

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VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. 1. Schwab Money Market & Cash	A	Dividend	J	T					
2. 2. Vanguard F/I Short Term Corp.		None			Sell	05/09	L	C	
3. 3. Federated 1-3 year US Gov't Sec.	B	Dividend	L	T	Buy	05/08	L		
4. 4. Brandywine	A	Dividend	K	T	PartSell	08/06	K	A	
5. 5. DFA one year fixed	B	Dividend	M	T	Buy	05/09	M		
6. 6. DFA U.S. 9-10 Small Co.	A	Dividend	K	T	PartSell	08/06	J	A	
7. 7. Dodge & Cox stock	C	Dividend	M	T					
8. 8. Dreyfus S.I. Govt.	B	Dividend			Sell	05/08	L	A	
9. 9. FAM Value	A	Dividend	K	T	PartSell	08/06	J	B	
10. 10. Fasciano	A	Dividend	K	T	Buy	08/06	J		
11. 11. Janus Fund	A	Dividend	L	T	Buy	08/06	K		
12. 12. Janus Adviser Growth Fund		None			Sell	08/06	K	A	
13. 13. Janus Adviser Int'l Fund	A	Dividend	K	T					
14. 14. Royce Opportunity	C	Dividend	L	T					
15. 15. Morgan Stanley Trust Value Fund (formerly MAS)	A	Dividend			Sell	05/08	K	A	Account
16. 16. Morgan Stanley Emerging Mkts.	A	Dividend	J	T	Buy	03/26	J		
17. 17. Morgan Stanley Int'l Equity	A	Dividend	K	T	Buy	08/06	K		
18. 18. MPS Mass. Investors Trust	A	Dividend	K	T	Buy	08/06	J		

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H = \$1,000,001-\$5,000,000	I2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,001-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = \$50,000,001-\$50,000,000		
3. Value Method Codes:	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
19. 19. Montgomery Emerging Mkts.	A	Dividend			Sell	03/26	J	A	
20. 20. First Eagle SoGen Global Class I (form. SoGen Int'l)	B	Dividend	K	T	PartSell	08/06	J	C	
21. 21. Hotchkis & Wiley Mid-Cap Value	A	Dividend	K	T	Buy	05/08	K		
22. 22. Stoneridge Small Cap	A	Dividend	K	T					
23. 23. Julius Baer Int'l Equity	A	Dividend	K	T					
24. 24. Westcore Mid-Cap Oppty Fd	A	Dividend	L	T	Part-Sell	08/06	J	A	
25. 25. Westcore MIDCO Growth	A	Dividend	L	T	Part-Sell	08/06	K	A	
26. 26. Schwab Money Market & Cash	A	Dividend	J	T					
27. 27. MFS Emerging Growth	A	Dividend			Sell	03/10	J	A	
28. 28. FirstEagle SoGen Global Class I (form. SoGen Int'l)	B	Dividend	K	T					
29. 29. William Blair Growth	A	Dividend	J	T	Buy	03/10	J		
30. 30. Thornberg Value Fund	A	Dividend	J	T	Buy	03/15	J		
31. 31. Schwab Money Mkt & Cash	A	Dividend	J	T					
32. 32. First Eagle SoGen Global (form. SoGen Int'l)	A	Dividend	J	T	PartSell	03/31	K	A	
33. 33. Dodge & Cox Stock	A	Dividend	J	T	Buy	03/31	J		
34. 34. Federated 1-3 Yr. U.S. Gov't Sec.	A	Dividend	K	T	Buy	03/31	K		
35. 35. Julius Baer Int'l Equity Fund	A	Dividend	J	T	Buy	03/31	J		
36. 36. Morgan Stanley Int'l Equity	A	Dividend	J	T	Buy	03/31	J		

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	R = \$25,000,001-\$50,000,000		S = More than \$50,000,000		
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	(1) Amount Code 1 (A-H)	(2) Type (e.g. div. rent. or int.)	(1) Value Code 2 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37. 37. Newberger Berman Fasciano Fund	A	Dividend	J	T	Buy	03/31	J		
38. 38. Royce Opportunity Fund	A	Dividend	J	T	Buy	03/31	J		
39. 39. Westcore Mid Cap Opportunity	A	Dividend	J	T	Buy	03/31	J		
40. 40. Westcore Growth	A	Dividend	J	T	Buy	03/31	J		
41. 41. Westcore Midco Growth	A	Dividend	J	T	Buy	03/31	J		
42. 42. Schwab Money Mkt & Cash	A	Dividend	J	T					
43. 43. Stoneridge Small Cap	A	Dividend	J	T					
44. 44. William Blair Growth	A	Dividend	K	T	Part Sell	08/06	K	A	
45. 45. Dodge & Cox stock	A	Dividend	K	T	Buy	08/06	J		
46. 46. Morgan Stanley Intl Equity	A	Dividend	K	T	Buy	08/06	J		
47. 47. Advanced Med Optics (spinoff Allergan)	A	Dividend	J	T					
48. 48. Abbott Labs - common stock	A	Dividend	J	T					
49. 49. Allergan - common stock	A	Dividend	L	T	Sell	06/05	L	E	
50. 50. Allergan - common stock	A	Dividend	L	T	Gift	12/24	J		Gift - See VIII
51. 51. Beckman Coulter	A	Dividend	K	T					
52. 52. Coca Cola - common stock	A	Dividend	K	T					
53. 53. E.I. DuPont de Nemours - common stock	B	Dividend	K	T					
54. 54. Federal Natl Mortgage Assoc.	B	Dividend	K	T					

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	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent. or mt.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, 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)
55. 55. General Electric - common stock	B	Dividend	L	T					
56. 56. Loews Int'l	A	Dividend	K	T					
57. 57. McDonalds Corp.	A	Dividend	K	T					
58. 58. PepsiCo Inc.	A	Dividend	K	T					
59. 59. GlaxoSmithKline (form. SmithKlineBeecham)	C	Dividend	M	T					
60. 60. Sprint FON Group	A	Dividend	K	T					
61. 61. Sprint PCS Group	A	Dividend	J	T					
62. 62. Wal-Mart Stores, Inc.	A	Dividend	K	T					
63. 63. Wells Fargo & Co.	B	Dividend	L	T					
64. 64. Westcore Midco Growth	A	Dividend	K	T	Buy	08/06	J		
65. 65. Baron Growth	A	Dividend	K	T					
66. 66. DFA Tax Mgd US 5-10 Value	A	Dividend	K	T					
67. 67. DFA US 9-10 Small Co.	B	Dividend	K	T	Part Sell	08/06	K	B	
68. 68. Dodge & Cox Stock	A	Dividend	K	T	Buy	08/06	K		
69. 69. First Eagle Overseas CLI	A	Dividend	J	T	Buy	08/06	J		
70. 70. Janus Fund	A	Dividend	K	T	Buy	08/06	J		
71. 71. Janus Adviser Int'l Fund	A	Dividend	K	T					
72. 72. Morgan Stanley Int'l Equity	A	Dividend	K	T	Buy	08/06	K		

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A. Description of Assets (including trust assets) Place "XX" 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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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
73. 73. Royce Opportunity Fund	A	Dividend	J	T	Buy	08/06	J		
74. 74. Schwab Money Market & Cash	A	Dividend	L	T					
75. 75. Sound Shore	A	Dividend	K	T	PartSell	08/06	K	C	
76. 76. Dryfus Short/Tnt Muni Bond Fund	A	Dividend			Sell	05/08	L	A	
77. 77. Federated Short Term Muni Bond Fund	B	Dividend	L	T	Buy	05/08	L		
78. 78. Scudder ST Muni Bond Fund	C	Dividend	M	T	Buy	08/06	K		
79. 79. Allergan - common stock	A	Dividend			Sell	08/08	J	D	
80. 80. BP AMOCO PLC ADR (acq. Atlantic Richfield)	A	Dividend			Sell	08/08	J	A	
81. 81. DuPont - common stock	A	Dividend	J	T					
82. 82. DFA Tax Mgd U.S. 5-10 Value	A	Dividend	J	T					
83. 83. Dodge & Cox Stock	A	Dividend	J	T					
84. 84. Janus Adviser Int'l Fund	A	Dividend	J	T					
85. 85. Fasciano	A	Dividend	J	T					
86. 86. MFS Mass Investors Trust	A	Dividend	J	T					
87. 87. First Eagle SoGen Global Class 1 (form SoGen Int'l)	A	Dividend	J	T					
88. 88. Sound Shore	A	Dividend	J	T					
89. 89. Schwab Money Market Fund	A	Dividend	J	T					
90. 90. Rental property in Ocean City, NJ (2000 - \$645,000)	E	Rent	O	R					

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Part V. GIFTS

Honorary golf memberships with Torressdale-Frankford Country Club, West Shore Country Club, and Blue Ridge Country Club: If I were to become a member of these clubs, I am certain that initial fees and ongoing fees would be several thousands of dollars; however, I use these memberships infrequently, and estimate the value to me, based on use, to be less than a thousand dollars.

Part VII. INVESTMENTS AND TRUSTS

Line 50: Allergan - Value (L)

Donated on 12/24/03

- One-half to Lincoln University
- One-half to National Constitution Center

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/10/04

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