

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) GARTH, LEONARD I.	2. Court or Organization THIRD CIRCUIT COURT OF APPEALS	3. Date of Report 05/01/2009
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 U.S. Court of Appeals-Rm.5040 MLK,Jr.Fed.Bldg& Courthouse 50 Walnut St.,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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Ramapo College, Advisory Committee of Law and Society
2. Executor of the Estate [REDACTED]	Appointed and Accepted Executorship Consistent with the Code of Conduct for U. S. Judges.
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2008	Statutory Executor's commissions as Executor of Estate [REDACTED]	\$25,830.00
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. FJC Educational Seminar Program Medina Seminar	06/12 through 06/18	Princeton, NJ	Education Seminar Program	\$411
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.)*

<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. (X) (See Part VIII)	Loan against cash value	J
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. 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 Bank Savings	A	Interest	J	T					
8. Chase Bank Checking	A	Interest	J	T					
9. Dreyfus Municipal Bond Fund	A	Interest			Sold	12/03	J		
10. Dreyfus Growth & Income (IRA)	A	Dividend	J	T					
11. AARP Growth & Income Fund	A	Dividend	J	T					
12. Dreyfus Growth & Income (IRA)	A	Dividend	J	T					
13. Nuveen Reinvest Acct(NJMun)	A	Interest			Sold	12/03	K		
14. Nuveen Reinvest Acct(CT Mun)	A	Interest	K	T	Buy	12/03	K		
15. Wachovia	A	Interest			Closed	2008	J		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 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	
3. Value Method Codes (See Column C2)					

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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				
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18. Wachovia (checking)		None	J	T					
19. Alcatel-Lucent Common	A	Dividend	J	T					See Part VIII
20. Smith Barney					Closed	06/12	O		See Part VIII
21. Bank of America Estate Checking Account	A	Interest	O	T					See Part VIII
22. Capmark Bank Utah - CD	A	Interest			Sold	02/08	K	A	
23. Discover Bank DE - CD	A	Interest			Sold	01/14	L	A	
24. Dorall Bank PR - CD	A	Interest			Sold	02/14	L	B	
25. Eagle National Bank of Miami FL - CD	A	Interest			Sold	02/13	L	B	
26. First National Bank of Omaha - CD	A	Interest			Sold	02/13	L	B	
27. Washington Mutual Bank NV - CD	A	Interest			Sold	02/14	L	B	
28. Proficio Bank Utah	A	Interest			Buy	02/15	L		
29.					Sold	03/27	L	A	
30. Park Avenue Bank NY	A	Interest			Buy	02/28	L		
31.					Sold	04/07	L	A	
32. Indymac Bank FSB, CA	A	Interest			Buy	02/28	L		
33.					Sold	04/14	L	A	
34. Eurobank PR	A	Interest			Buy	02/15	L		

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35.					Sold	03/21	L	A	
36.	Entries 22 through 35 inclusive, complete the reporting of the Estate assets.								
37.	Following are additional assets attributable to me, the Reporter.								
38. Virtus Investment Partners, Inc. Common			J	T					See Part VIII
39. FairPoint Communications Common	A	Dividend	J	T					See Part VIII
40. Guilford Savings Bank, CT CD	A	Interest	L	T					See Part VIII
41. ING Direct CD	A	Interest	K	T					See Part VIII
42. Morgan Stanley Bank CD	A	Interest	K	T					See Part VIII
43. Morgan Stanley Bank CD	A	Interest	K	T					See Part VIII
44. Goldman Sachs CD	A	Interest	K	T					See Part VIII
45. GE Money Bank, Salt Lake City, UT CD	A	Interest	K	T					See Part VIII
46. JB Hanauer Federated Money Market	A	Interest	J	T					See Part VIII
47. Guardian Life Insurance	A	Dividend	J	T					See Part VIII
48. Crown Life Insurance (X)	A	Dividend	J	T					See Part VIII

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

Part VI #1 One of the Guardian Life Insurance Policies that I have previously reported now does not have a reportable loan (and See Part VII, #47 for my Guardian reportable loan).

Part VII #15 I no longer have a savings account in Wachovia. It was closed some time in 2008.

Part VII #19 Lucent is now known as Alcatel-Lucent.

Part VII #20 Smith Barney Brokerage Account was closed on June 12, 2008. All funds of the estate were transferred to Bank of America. See #21.

Part VII #21 Bank of America distributed substantially all bequests to beneficiaries reserving only a small fraction of the estate assets for expenses and residuary.

Part VII #38 On December 31, 2008, the Phoenix Companies, Inc. (see #16) spun-off Virtus Investment Partners, Inc.

Part VII #39 FairPoint Communications, Inc. was spun-off from Verizon. See Item #6

Part VII #40 This CD was purchased from the proceeds of the sale of our residence.

Part VII #41 This CD was purchased from the proceeds of the sale of our residence.

Part VII #42 This CD was purchased from the proceeds of the sale of our residence.

Part VII #43 This CD was purchased from the proceeds of the sale of our residence.

Part VII #44 This CD was purchased from the proceeds of the sale of our residence.

Part VII #45 This CD was purchased from the proceeds of the sale of our residence.

Part VII #46 JB Hanauer Federated Money Market Fund: In November 2008, concurrent with the sale of our residence, I transferred all my securities to JB Hanauer for management. JB Hanauer accumulates my cash dividends or sales proceeds, if any, in their Federated Money Market Account.

Part VII #47 I have been consistently reporting this Guardian Life Insurance policy in Part VI, but had not realized that I should also be reporting that part of the policy attributable to investment in Part VII. I now report the Guardian policy in both Parts of the Financial Disclosure Report, consistent with the current instructions.

Part VII #48 I have a loan against the cash value of the Crown Life Insurance policy which I have not reported until this Report.

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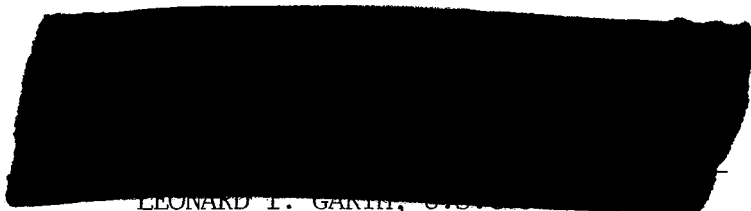
Date of Report

05/01/2009

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.



LEONARD I. GARTH, U.S. DISTRICT COURT

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