

FINANCIAL DISCLOSURE REPORT

FOR 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, middle initial) SLOVITER, DOLORES K.	2. Court or Organization United States Court of Appeals for Third Circuit	3. Date of Report 5/15/04
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Active	5. Report Type (check appropriate type) ___ Nomination, Date ___ ___ Initial ☒ Annual ___ Final	6. Reporting Period 1/1/03 to 12/31/03
7. Chambers or Office Address 18614 United States Courthouse 601 Market Street Philadelphia, PA 19106	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 instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1 Board of Trustees

National Constitution Center

2 Executrix

Estate of [REDACTED]

3 Chair 2003, 2004

Pennsylvania State Committee of
Selection for Rhodes Scholars

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

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

1 Salary

Temple University, Phila., PA

\$ 8,261.00

2

\$

3

\$

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.)

1 Annuity

TIAA, New York, New York

2

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

DOLORES K. SLOVITER

5/15/04

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

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

SOURCE

DESCRIPTION

☐	NONE (No such reportable reimbursements.)	
1	Attending Third Circuit Court of Appeals Judges Retreat	5/4/03 to 5/5/03 - Lambertville, New Jersey (TRANSPORTATION, FOOD, HOTEL)
2	Attending Third Circuit Judicial Conference	11/9/03 to 11/11/03 - Philadelphia, PA (FOOD)
3		
4		
5		
6		
7		

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

SOURCE

DESCRIPTION

VALUE

☒	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☒	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000
 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 or more

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting
DOLORES K. SLOVITER

Date of Report
5/15/04

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Place "X" after each asset exempt from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (I-P)	Value Method Code3 (Q-V)	Type (e.g., buy/sell, transfer, redemption)	(2) Date Month Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
¹ SEE ATTACHED SHEETS									
² # 1 through 12									
³									
⁴									
⁵									
⁶									
⁷									
⁸									
⁹									
¹⁰									
¹¹									
¹²									
¹³									
¹⁴									
¹⁵									
¹⁶									
¹⁷									

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 R1=\$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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

VII. INVESTMENTS AND TRUSTS -- income, value, transactions

A.	B.	C.	D.						
Description of Assets	Income during period	Gross Value at end of period	Transactions during period						
			<u>If not exempt from disclosure</u>						
Place "(X)" after each asset exempt prior disclosure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
GE - com. stock	B	Div.	L	T					
IT&T Industries - com. stock	A	Div.	J	T					
Hartford Fin. Services - com. stock	A	Div.	J	T					
PSEG - com. stock	A	Div.	J	T					
Rayonier - com. stock	A	Div.	J	T					
Sara Lee - com. stock	A	Div.	J	T					
Im-it Ins. Mun. Inv. Tr. - Ser. 15	A	Int. & p'al	J	T					

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 C = \$2,501 to \$5,000 D = \$5,001 to \$15,000 E = \$15,001 to \$50,000
 F = \$50,001 to \$100,000 G = \$100,001 to \$1 million H = over \$1,000,000

2. Value Codes: J = \$15,000 or less K = \$15,001 to \$50,000
 L = \$50,001 to \$100,000 M = \$100,001 to \$250,000 N = \$250,001 to \$500,000
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3. Value Method Codes: Q = Appraisal R = Cost (real estate only)
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A.	B.	C.	D.						
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Place "(X)" after each asset exempt prior dis- closure	Amt. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	<u>If not exempt from disclosure</u>			
						Date: Month- Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Iden- tity from buyer/ seller
Vanguard Mun. Bond Funds	F	Div. & cap. gain	P	T	periodic deposits and redemptions - see VIII				
Vanguard Wind- sor II	D	Div. & cap. gain	N	T	periodic deposits - see VIII				
Vanguard Star Fund	B	Div.	K	T					
Allegheny, PA, 6.0%, '11	A	Int.	J	T					
Bucks County, Pa., 6.85%, '03	B	OID		T	Sold	6/2	K		

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Bucks County W & S, 5.375%, '13	A	Int.		T	Sold	6/2	J		
Bucks County W & S, 5%, '22	A	Int.	J	T					
Conrad Weiser S.D., 5.25%, '14	A	Int.	J	T					
Conrad Weiser Area S.D., 6.85%, '14	B	Int.	J	T					
Council Rock, PA, 5.1%, '07	A	Int.		T	Sold	9/2	J		
Dauphin Cty., 4.4%, '19	A	Int.	J	T					

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Fleetwood, 5.65%, '11	A	Int.	J	T					
Gettysburg, 5%, '13	A	Int.	J	T					
Greater Johns- town, 5%, '08	A	Int.	J	T					
Hempfield S.D., 5%, '07	A	Int.	J	T					
Lancaster, 6%, '14	A	Int.	J	T					
Lower Merion S.D., 4.8%, '25	A	Int.	K	T	Purch.	3/25			

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Lower Merion Twp. 5.125%, '18	B	Int.	K	T					
Luzerne, 5.6%, '16	A	Int.	J	T					
Manheim S.D., 6.1%, '14	A	Int.	J	T					
Muhlenberg, PA, 5.25%, '12	A	Int.	J	T					
Muhlenberg, PA, 5%, '23	B	Int.	K	T					
No. Wales, 6%, '10	A	Int.		T	Sold	11/3	J		

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						Date: Month-Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Identity from buyer/seller
Northampton Cty., 6%, '19	B	Int.	K	T					
Pa. St. Higher Ed. Fac. Auth., 5.25%, '10	A	Int.	J	T	Jt. Bd. 5/28 rec'd other half on death of [REDACTED]				
Penna. Inter-govt'l, 5 1/4%, '17	A	Int.	J	T					
Penna., 5 3/4%, '18	B	Int.	K	T					
Pa. St. HFA Refdg., 5.8%, '18	A	Int. & cap. gain		T	Sold	7/1	J	A	

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						Date: Month- Day	Value Code ² (J-P)	Gain Code ¹ (A-H)	Iden- tity from buyer/ seller
Pa. H. Ed. Asst. Agency, 6.05%, '19	B	Int. & cap. gain		T	Sold	7/1	K	A	
Pa. Turnpike, 5% '23	A	Int.	J	T					
Pa. Turnpike, 5%, '23	A	Int.	J	T					
Pa. St. Ed. Fin. A., 5.625%, '27	B	Int.	K	T					
Phila. W & W, 5.5%, '14	A	Int.	J	T					
Phila. Parking, 5.125%, '24	A	Int.	J	T					

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Pittsburgh, 5%, '21	A	Int.	J	T					
Pleasant Valley, Pa., 5.1%, '12	A	Int.	J	T					
Schuylkill Val- ley S.D., 5.85%, '13	A	Int.		K	Sold	4/15	J		
Souderton, Pa., 5.4%, '10	A	Int.		T	Sold	3/3	K		
Southern Lehigh S.D., 5.2%, '18	B	Int.	K	T					
Springfield, 5.2%, '17	A	Int.	J	T					

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Suburban Lancaster Swr. Auth., 6%, '17	B	Int.	K	T					
Susquehanna Twp. Auth. Pa., 6%, '13	A	Int.	J	T					
Upper Dublin, 5%, '14	A	Int.	J	T					
Wattsburg, 5.125%, '15	A	Int.		T	Sold	4/1	J		
West Brandywine Twp., 5.4%, '14	A	Int.	J	T					
West Chester, 5.45%, '12	A	Int.	J	T					

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Wilkes-Barre Area S.D., 5.25%, '14	A	Int.	J	T					
Wachovia Accts.	A	Int.	K	T					
Lancaster S.D., 6%, '11	A	Int.	J	T					
<u>Estate of HAS</u>									
American Tel. & Tel. - com. stock	A	Div.	J	T					
AWE (spinoff from AT&T)		None	J	T					
Avaya (spinoff from Lucent)		None		T	Sold	8/6	J		

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Comcast (spinoff from AT&T)	A	None	J	T					
Exelon - com. stock	B	Div.	L	T					
Lucent Technologies, com. stock		None	J	T					
SBC - common stock		Div.	L	T					
Abington S.D., 5.1%, '04	A	Int.	J	T					
Antrim, 5.6%, '25	B	Int.		T	Jt. Bd. 5/28 distributed to joint tenant				

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Del. Pa. & NJ Riv., 5.4%, '14	A	Int.	J	T					
E. Strdsbg, Pa., 5.125%, '10	B	Int.		T	Sold	11/15	K		
No. Wales, 6.1%, '04	A	Int.	J	T					
Pa. Higher Educ., 6 1/8%, '10	A	Int.	J	T					
Southern Fulton S.D., 4.5%, '07	A	Int.		T	Sold	9/18	K		
Southern Lehigh S.D., 5.2%, '18	B	Int.	J	T					

1. Income/Gain Codes: A = \$1,000 or less B = \$1,001 to \$2,500
C = \$2,501 to \$5,000 D = \$5,001 to \$15,000 E = \$15,001 to \$50,000
F = \$50,001 to \$100,000 G = \$100,001 to \$1 million H = over \$1,000,000
2. Value Codes: J = \$15,000 or less K = \$15,001 to \$50,000
L = \$50,001 to \$100,000 M = \$100,001 to \$250,000 N = \$250,001 to \$500,000
O = \$500,001 to \$1,000,000 P = over \$1,000,000
3. Value Method Codes: Q = Appraisal R = Cost (real estate only)
S = Assessment T = Cash/market U = Book value V = Other
W = Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

DOLORES K. SLOVITER

Date of Report

5/15/04

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.

Reported in VII is the information with respect to value and income received by my [REDACTED] before his death on May 28, 2003, together with the value and income received by his Estate thereafter.

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

Date

5/13/04

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.)

FILE INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-30
One Columbus Circle, N.E.
Washington, D.C. 20544