

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Cowen, Robert E.	2. Court or Organization U.S. Court of Appeals 3rd Cir.	3. Date of Report 05/05/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address 402 E. State Street Room 207 Trenton, NJ 08608		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/05/2020

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.		
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. 2019	State of New Jersey
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.				
4.				
5.				

Name of Person Reporting	Date of Report
Cowen, Robert E.	05/05/2020

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

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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. Alphabet Inc.	A	Dividend	L	T					
2. Accenture PLC	A	Dividend	K	T					
3. Beckton Dickinson	A	Dividend	K	T					
4. Chevron Corp. (Common Stock)	A	Dividend	K	T					
5. Black Rock Inc.	A	Dividend	J	T					
6. Chubb Corp. (Common Stock) A Dividend K T	A	Dividend	K	T					
7. Cisco Systems (Common Stock)	B	Dividend	K	T					
8. Colgate Palmolive (Common Stock)	A	Dividend	J	T					
9. Conoco Phillips (Common Stock)	A	Dividend	K	T					
10. Emerson Electric (Common Stock)	A	Dividend	J	T					
11. ExxonMobil (Common Stock)	A	Dividend	K	T					
12. FedEx Corp. (Common Stock)	A	Dividend	J	T					
13. Goldman Sachs Gr. Op. Fd. (Mutual Fund)		None	K	T					
14. First Trust ETF	A	Dividend	K	T					
15. Home Depot (Common Stock)	B	Dividend	L	T					
16. Intel Corp. (Common Stock)	A	Dividend	K	T					
17. Johnson & Johnson (Common Stock)	B	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

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

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. JP Morgan Chase (Common Stock)	B	Dividend	K	T					
19. McDonalds Corp. (Common Stock)	A	Dividend	K	T					
20. N.J. Res Corp. (Common Stock)	A	Dividend	J	T					
21. Nextera Energy (Common Stock)	A	Dividend	K	T					
22. Microsoft Corp. (Common Stock)	B	Dividend	M	T					
23. Phillips 66 PSX (Common Stock)	A	Dividend	K	T					
24. PNC Financial Serv. Group	A	Dividend	J	T					
25. Public Service Enterprise Group Inc. (Common Stock)	A	Dividend	K	T					
26. VIRTUS FD-Midcap	A	Dividend	K	T					
27. Sysco Corp. (Common Stock)	A	Dividend	K	T					
28. WalMart Inc.	A	Dividend	K	T					
29. Target Corp. (Common Stock)	A	Dividend	K	T					
30. 3M Co. (Common Stock)	A	Dividend	K	T					
31. Apple (Common Stock)	A	Dividend	J	T					
32. Abbvie Inc. (Common Stock)	A	Dividend	J	T					
33. United Technologies (Common Stock)	A	Dividend	K	T					
34. United Health Grp. Inc.	A	Dividend	K	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

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

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

T =Cash Market

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FINANCIAL DISCLOSURE REPORT

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35. Abbot Labs (Common Stock)	A	Dividend	J	T					
36. AT & T (Common Stock)	A	Dividend	J	T					
37. Wells Fargo Adv. Asset All. FD	A	Dividend	J	T					
38. Eaton-Vance Tax Free (Municipal Fund)	A	Dividend	J	T					
39. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					
40. IShares Russell 2000 ETF	A	Dividend	K	T					
41. IShares Core S&P Mid Cap	A	Dividend	J	T					
42. IShares Corp. U.S. Bond ETF	A	Dividend	J	T					
43. IShares 1 Boxx ETF	A	Dividend	J	T					
44. IShares ETF S & P Mid-Cap 400 Value	A	Dividend	J	T					
45. IShares ETF S & P Mid-Cap 400 Growth	A	Dividend	J	T					
46. IShares ETF S & P 500 Value	A	Dividend	J	T					
47. IShares ETF S & P 500 Growth	A	Dividend	J	T					
48. IShares ETF Int'l Select	A	Dividend	J	T					
49. Vanguard Midcap ETF	A	Dividend	J	T	Buy	07/01/19	J		
50. Invesco Opt. To Commodity ETF	A	Dividend			Sold	07/01/19	J		
51. Invesco EM MAR ETF	A	Dividend	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 \$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	S =Assessment W =Estimated	T =Cash Market	

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52. Vanguard Intl. Equity ETF	A	Dividend	K	T					
53. Vanguard REIT ETF	A	Dividend			Sold	07/18/19	J	A	
54. Vanguard Global Real Estate	A	Dividend			Sold	07/18/19	J	A	
55. Vanguard FTSE Developed Mkts ETF	A	Dividend	K	T					
56. N.J. Healthcare Fac. 7-01-19	A	Interest			Redeemed	07/01/19	J		
57. Orlando, FL Cap. Impt.	A	Interest			Redeemed	10/01/19	J		
58. VOYA	A	Dividend	J	T					
59. Lord Abbett Trst Growth	A	Dividend	L	T					
60. Alhambra, Ct.	A	Interest	J	T	Buy	07/09/19	J		
61. Lancaster, CA School District	A	Interest	J	T					
62. Lancaster, CA Redev.	A	Interest	J	T	Buy	07/09/19	J		
63. Passaic Cty N.J. College 11-01-19	A	Interest			Redeemed	11/01/19	J		
64. Riverside Cty, CA 10-01-23	B	Interest	K	T					
65. Riverside Cty. CA 10-01-32	A	Interest	J	T					
66. Cleveland, OH Airport	A	Interest			Redeemed	01/02/19	K		
67. San Francisco Comm.College	A	Interest	K	T					
68. Los Angeles Comm. College	A	Interest	K	T					

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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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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Essex Cty Impt Auth	A	Interest	J	T					
70. Goldman Sachs Grp. Inc.	A	Interest	J	T					
71. Turlock, CA Uni Sch. Dist.	A	Interest	K	T					
72. Tahoe Truckee, CA	A	Interest	J	T	Buy	04/17/19	J		
73. San Francisco City & Cnty	A	Interest	J	T					
74. San Lorenzo, CA	A	Interest	J	T	Buy	04/18/19			
75. Kings Canyon, CA	A	Interest	J	T					
76. Hawaii St. Hsg. Fin. & Dev.	A	Interest			Redeemed	07/01/19			
77. Hayward, CA Uni School Dist.	B	Interest	K	T					
78. Rowland CA Un. School Dist.	A	Interest	K	T					
79. Livermore Valley School Dist.	A	Interest	J	T					
80. Greenfield, CA Redev.	A	Interest	J	T					
81. Invesco/Oppenheimer Equity Income FD (new name)	A	Dividend	K	T					
82. Fed. Home Loan Banks	A	Interest			Redeemed	03/29/19	J		
83. Wells Fargo Municipal Bond Fund CL B	A	Interest	J	T					
84. Wells Fargo Municipal Bond CL A	A	Interest	J	T					
85. Wells Fargo Muni Bond CL C	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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86. America Funds Tax Exempt Bond Fd. CL C An o/ J-1	A	Interest	K	T					
87. Delaware Small Cap Core FD	A	Dividend	K	T					
88. New World Fund CLC	A	Dividend	K	T					
89. Columbia Emerging Market Bond FD CLC	A	Dividend	J	T					
90. Monroe Twp., NJ RFDG GO	A	Interest	J	T					
91. Tennessee Valley Auth.	A	Interest	J	T	Buy	01/08/19	J		
92. J.P. Morgan Chase CD	A	Interest			Redeemed	10/21/19	J		
93. Treasury Notes - Various Maturities	A	Interest	J	T					
94. Treasury Notes	A	Interest			Redeemed	03/30/19	J		
95. Fidelity Inc. Money Market	A	Interest	K	T	Buy	10/29/19	K		
96. FNMA	A	Interest	J	T	Buy	01/08/19	J		
97. First Trust Portfolio	A	Int./Div.	K	T	Buy	10/22/19	K		
98. IRA #1	A	Int./Div.	K	T					
99. - Blair Williams FDs International Growth	A	Dividend	J	T					
100. Dodge & Cox FDS	A	Dividend	J	T	Buy	03/19/19	J		
101. America FDS WMFFX	A	Dividend	J	T					
102. DWS - (Name Change) Sec. Tr.	A	Dividend			Sold	08/06/19	J		

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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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103. Eaton Vance Income FD	A	Dividend	J	T					
104. - Lazard FDs Emerging Mkts	A	Dividend	J	T					
105. Mainstay Large Cap Growth	A	Dividend	J	T					
106. MFS Ser Tr. X	A	Dividend	J	T					
107. MFS Value FD	A	Dividend	J	T					
108. - Eagle Small Gap Growth FD	A	Dividend	J	T					
109. - Hotchkiss & Wiley Mid-Cap Val. 1	A	Dividend			Sold	02/21/19	J	A	
110. - John Hancock Classic Value FD	A	Dividend	J	T					
111. Invesco/Oppenheimer Dev. Mkts (name change)	A	Dividend	J	T					
112. - Victory Portfolios	A	Dividend	J	T					
113. - Wells Fargo FDS TR Mutual Fund	A	Dividend	J	T					
114. Wells Fargo Core Bond Fund	A	Dividend	J	T					
115. Principal Fds. Global R.E.	A	Dividend			Sold	08/06/19	J		
116. - Goldman Sacks Treas. Instr.	A	Dividend	J	T	Buy	08/06/19	J		
117. T. Rowe Price Real Estate	A	Dividend			Sold	08/06/19	J	A	
118. T. Rowe Price Intl. FD	A	Dividend	J	T					
119. - AMG FD Times Square Mid Cap (name change)	A	Dividend	J	T					

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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				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Voya Large Cap Growth FD	A	Dividend	J	T					
121.									
122.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

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

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

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/05/2020

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/05/2020

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/ **Robert E. Cowen**

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
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One Columbus Circle, N.E.
Washington, D.C. 20544