

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) Rendell, Marjorie O.	2. Court or Organization USCA - 3CA - Philadelphia	3. Date of Report 06/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Senior)	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 U.S. Court of Appeals 601 Market Street, Room 21613 Philadelphia, PA 19106-1598		
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. Member, Board of Directors	Rendell Center for Civics & Civic Engagement
2. President	Rendell Center for Civics & Civic Engagement
3. Member, Board of Directors	Cobbs Creek Restoration and Community Foundation
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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Name of Person Reporting

Rendell, Marjorie O.

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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.		
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	Administrative Office of PA Courts - Salary
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.				

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Rendell, Marjorie O.	06/15/2020

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)	(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)
1. QUALIFIED (H)									
2. AIP Multi Strategy Fund	D	Dividend	M	T					
3. BlackRock Low Duration Bond	D	Dividend	M	T	Sold (part)	10/28/19	J	A	
4. DFA Emerging Mkts Core Equity	B	Dividend	L	T	Buy (add'l)	02/12/19	J		
5. DFA Intl Small Cap Growth	A	Dividend	K	T	Sold (part)	10/28/19	J	A	
6. DFA Intl Small Cap Value	B	Dividend	L	T					
7. DFA Intl Value	C	Dividend	M	T					
8. DFA International Large Cap Growth	B	Dividend	L	T	Sold (part)	02/12/19	K	A	
9. DFA One Year Fixed	C	Dividend			Sold	12/18/19	M	A	
10. DFA Global Real Estate Securities	C	Dividend	L	T	Sold (part)	02/12/19	K	B	
11.					Sold (part)	07/23/19	J	A	
12.					Sold (part)	10/28/19	J	A	
13. DFA US Large Cap Value	D	Dividend	M	T	Buy (add'l)	02/12/19	K		
14. DFA U.S. Micro Cap	B	Dividend	K	T	Sold (part)	10/28/19	J	A	
15. DFA U.S. Small Cap Value	B	Dividend	K	T	Sold (part)	07/23/19	K	A	
16. Dodge & Cox Stock	E	Dividend	M	T	Sold (part)	10/28/19	K	A	
17. First Eagle Overseas	D	Dividend	M	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

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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.)

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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 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)
18. Hotchkis & Wiley Mid Cap Value	B	Dividend	L	T					
19. Ivy Mid Cap Growth	C	Dividend	L	T	Sold (part)	02/12/19	K	B	
20.					Sold (part)	05/23/19	K	D	
21. Metropolitan West Total Return	C	Dividend	M	T					
22. Morgan Stanley Inst Emerging Markets	D	Dividend	L	T	Buy (add'l)	02/12/19	J		
23. Morgan Stanley Inst International Equity	D	Dividend	L	T	Buy (add'l)	03/08/19	K		
24. Royce Opportunity	A	Dividend	K	T	Sold (part)	10/28/19	J	A	
25. Schwab Adv Cash Reserve Prem	A	Dividend	L	T					
26. Segall Bryant & Hamilton Small Cap	A	Dividend			Sold (part)	02/22/19	J	A	
27.					Sold	03/08/19	K	D	
28. Segall Bryant & Hamilton Mid Cap Value Dividend	B	Dividend			Sold	05/23/19	L	A	
29. William Blair Lg Cap Growth	D	Dividend	M	T	Sold (part)	07/23/19	K	D	
30. William Blair Small Cap Growth	A	Dividend	K	T	Sold (part)	07/23/19	K	A	
31. DFA US Small Cap Growth	A	Dividend	K	T	Sold (part)	07/23/19	J	A	
32. DFA Short Term Government Port	C	Dividend	M	T					
33. DFA Interm Government	A	Dividend	M	T	Buy	12/18/19	M		
34. AQR LG Cap Defenfisve	B	Dividend	M	T	Buy	05/23/19	L		

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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☐ 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)
35.					Buy (add'l)	07/23/19	L		
36. PERSONAL (H)									
37. DFA Emerging Markets Core Equity	B	Dividend	L	T					
38. DFA Global Real Estate Securities	C	Dividend	L	T	Sold (part)	02/12/19	K	A	
39. DFA Intl Large Cap Growth	B	Dividend	L	T	Buy (add'l)	06/27/19	K		
40. DFA Short Term Muni Bond	C	Dividend	N	T	Buy (add'l)	02/12/19	N		
41.					Buy (add'l)	02/19/19	J		
42.					Buy (add'l)	06/27/19	K		
43. DFA Tax Managed Int'l Value	C	Dividend	M	T					
44. DFA Tax Managed US Marketwide Value	D	Dividend	N	T	Buy (add'l)	02/12/19	L		
45.					Buy (add'l)	06/27/19	K		
46. DFA Tax Managed US Targeted Value	B	Dividend	K	T					
47. DFA US Micro Cap	B	Dividend	K	T	Buy (add'l)	06/27/19	J		
48. Dodge & Cox Stock	E	Dividend	M	T	Buy (add'l)	02/12/19	K		
49.					Buy (add'l)	02/19/19	J		
50.					Buy (add'l)	06/27/19	K		
51. Hotchkis & Wiley Mid Cap Value	B	Dividend	M	T	Buy (add'l)	02/12/19	J		

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.					Buy (add'l)	06/27/19	K		
53. iShares Core MSCI EAFE ETF	C	Dividend	M	T					
54. iShares MSCI EAFE Small Cap Index	C	Dividend	L	T					
55. Ivy Mid Cap Growth	C	Dividend	L	T	Sold (part)	05/23/19	K	D	
56. Metropolitan West Total Return Bond	D	Dividend	N	T	Buy	02/12/19	N		
57.					Buy (add'l)	02/19/19	J		
58.					Buy (add'l)	06/27/19	J		
59. Morgan Stanley Inst. Emerging Markets	D	Dividend	L	T	Buy (add'l)	02/19/19	J		
60.					Buy (add'l)	06/27/19	J		
61. Morgan Stanley Inst Int'l Equity	D	Dividend	L	T	Buy	02/12/19	K		
62.					Buy (add'l)	02/19/19	K		
63.					Buy (add'l)	03/12/19	K		
64.					Buy (add'l)	06/27/19	J		
65. Royce Opportunity Investment	A	Dividend	L	T	Sold (part)	06/27/19	K	A	
66. Schwab Advisor Premium Cash Reserve	A	Dividend	M	T					
67. Schwab Government Money Market	C	Dividend	K	T	Sold (part)	02/12/19	O		
68.					Sold (part)	02/19/19	K		

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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)
69.					Sold (part)	10/17/19	K		
70. Thornburg Limited Term Muni	D	Dividend	N	T	Buy	02/12/19	N		
71.					Buy (add'l)	02/19/19	J		
72.		Dividend			Buy (add'l)	06/27/19	K		
73. Segall Bryant & Hamilton Int'l Small Cap	A	Dividend			Sold	03/12/19	K	C	
74. Segall Bryant & Hamilton Mid-Cap Value Dividend	B	Dividend	L	T	Buy (add'l)	02/12/19	J		
75.					Sold (part)	05/23/19	K	A	
76. William Blair Small Cap Growth	B	Dividend	L	T	Sold (part)	06/27/19	K	A	
77. William Blair Large Cap Growth	E	Dividend	N	T					
78. DFA US Small Cap Growth	A	Dividend	K	T					
79. DFA Intl Small Cap Growth	A	Dividend	K	T	Buy	02/19/19	K		
80. AQR Large Cap Defensive	B	Dividend	L	T	Buy	05/23/19	L		
81.					Buy (add'l)	06/27/19	L		
82. Global Net Lease Inc	C	Dividend	K	T					
83. Ventas Inc	A	Dividend	J	T					
84. Vereit Inc. Com	D	Dividend	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ Marjorie O. Rendell**

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