

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/07/2019
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
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.

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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. 2018	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.	05/07/2019

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.		

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Name of Person Reporting

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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)	(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. Alphabet Inc.	A	Dividend	K	T					
2. Accenture PLC	A	Dividend	K	T	Buy	05/30/18	K		
3. Beckton Dickinson	A	Dividend	K	T	Buy	09/04/18	K		
4. Chevron Corp. (Common Stock)	A	Dividend	K	T					
5. Black Rock Inc.	A	Dividend	J	T	Buy	01/31/18	J		
6. Cardinal Health Care (Common Stock)	A	Dividend			Sold	09/04/18	J		
7. Chubb Corp. (Common Stock) A Dividend K T	A	Dividend	K	T					
8. Cisco Systems (Common Stock)	B	Dividend	K	T					
9. Colgate Palmolive (Common Stock)	A	Dividend	J	T					
10. Conoco Phillips (Common Stock)	A	Dividend	K	T					
11. Dell Technologies	A	Dividend			Sold	05/29/18	J		
12. Emerson Electric (Common Stock)	A	Dividend	J	T					
13. ExxonMobil (Common Stock)	A	Dividend	K	T					
14. FedEx Corp. (Common Stock)	A	Dividend	J	T					
15. Goldman Sachs Gr. Op. Fd. (Mutual Fund)		None	K	T					
16. First Trust ETF	A	Dividend	K	T					
17. General Electric (Common Stock)	A	Dividend			Sold	05/29/18	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	H1 =\$1,000,001 - \$5,000,000	H2 =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 =More than \$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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18. General Mills	A	Dividend			Sold	05/29/18	J		
19. Home Depot (Common Stock)	A	Dividend	K	T					
20. Intel Corp. (Common Stock)	A	Dividend	K	T					
21. Intl. Flavors & Fragrances (Common Stock)	A	Dividend			Sold	09/04/18	J	D	
22. Johnson & Johnson (Common Stock)	B	Dividend	K	T					
23. JP Morgan Chase (Common Stock)	B	Dividend	K	T					
24. Kellog (Common Stock)	A	Dividend			Sold	09/04/18	J	D	
25. Kimberly-Clark (Common Stock)	A	Dividend			Sold	09/04/18	K		
26. McDonalds Corp. (Common Stock)	A	Dividend	K	T					
27. N.J. Res Corp. (Common Stock)	A	Dividend	J	T					
28. McKesson Corp. (Common Stock)	A	Dividend			Sold	09/04/18	J	C	
29. Nextera Energy (Common Stock)	A	Dividend	K	T					
30. Microsoft Corp. (Common Stock)	B	Dividend	K	T					
31. Phillips 66 PSX (Common Stock)	A	Dividend	K	T					
32. PNC Financial Serv. Group	A	Dividend	J	T					
33. Public Service Enterprise Group Inc. (Common Stock)	A	Dividend	K	T					
34. Qualcomm, Inc. (Common Stock)	A	Dividend			Sold	05/29/18	K		

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(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =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 =More than \$50,000,000		
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35. QualComm, Inc.	A	Dividend			Sold	05/29/18	J		
36. VIRTUS FD-Midcap formerly known as Ridgeworth	A	Dividend	K	T					
37. Sysco Corp. (Common Stock)	A	Dividend	J	T					
38. WalMart Inc.	A	Dividend	K	T	Buy	09/04/18	K		
39. Target Corp. (Common Stock)	A	Dividend	J	T					
40. 3M Co. (Common Stock)	A	Dividend	K	T					
41. Apple (Common Stock)	A	Dividend	J	T					
42. Abbvie Inc. (Common Stock)	A	Dividend	J	T					
43. United Technologies (Common Stock)	A	Dividend	K	T					
44. United Health Grp. Inc.	A	Dividend	K	T	Buy	09/04/18	K		
45. Abbot Labs (Common Stock)	A	Dividend	J	T					
46. AT & T (Common Stock)	A	Dividend	J	T					
47. Wells Fargo Adv. Asset All. FD	A	Dividend	J	T					
48. Eaton-Vance Tax Free (Municipal Fund)	A	Dividend	J	T					
49. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					
50. IShares Russell 2000 ETF	A	Dividend	J	T					
51. IShares Core S&P Mid Cap	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. IShares Corp. U.S. Bond ETF	A	Dividend	J	T					
53. IShares 1 Boxx ETF	A	Dividend	J	T	Buy	02/01/18	J		
54. IShares ETF S & P Mid-Cap 400 Value	A	Dividend	J	T					
55. IShares ETF S & P Mid-Cap 400 Growth	A	Dividend	J	T					
56. IShares ETF S & P 500 Value	A	Dividend	J	T					
57. IShares ETF S & P 500 Growth	A	Dividend	J	T					
58. IShares ETF Int'l Select	A	Dividend	J	T					
59. SPDR Barclay's High Yield Bond ETF	A	Dividend			Sold	02/01/18	J	A	
60. PowerShares Mgd Commodity ETF Now Invesco Opt. To Commodity ETF	A	Dividend	J	T					
61. PowerShares EM MAR, ETF Now Invesco EM MAR ETF	A	Dividend	J	T					
62. Vanguard Intl. Equity ETF	A	Dividend	J	T					
63. Vanguard REIT ETF	A	Dividend	J	T					
64. Vanguard Global Real Estate	A	Dividend	J	T					
65. Vanguard FTSE Developed Mkts ETF	A	Dividend	J	T					
66. N.J. Healthcare Fac. 7-01-19	A	Interest	J	T					
67. Orlando, FL Cap. Impt.	A	Interest	K	T					
68. VOYA	A	Dividend	J	T					

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69. Lord Abbett Trst Growth	A	Dividend	L	T					
70. N.J. State Higher Ed. 6-01-30	A	Interest			Redeemed	08/01/18	J		
71. Lancaster, CA School District	A	Interest	J	T					
72. Oregon St. Dept. Admin.	A	Interest			Redeemed	05/01/18	J		
73. Passaic Cty N.J. College 11-01-19	A	Interest	J	T					
74. Riverside Cty, CA 10-01-23	B	Interest	K	T					
75. Riverside Cty. CA 10-01-32	A	Interest	J	T					
76. Cleveland, OH Airport	A	Interest	K	T					
77. San Francisco Comm.College	A	Interest	K	T					
78. Los Angeles Comm. College	A	Interest	K	T					
79. Essex Cty Impt Auth	A	Interest	J	T					
80. Goldman Sachs Grp. Inc.	A	Interest	J	T	Buy	05/05/18	J		
81. Turlock, CA Uni Sch. Dist.	A	Interest	K	T					
82. San Francisco City & Cnty	A	Interest	J	T					
83. Kings Canyon, CA	A	Interest	J	T					
84. Hawaii St. Hsg. Fin. & Dev.	A	Interest	J	T					
85. Hayward, CA Uni School Dist.	B	Interest	K	T					

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86. Rowland CA Un. School Dist.	A	Interest	K	T					
87. Livermore Valley School Dist.	A	Interest	J	T					
88. Greenfield, CA Redev.	A	Interest	J	T					
89. Oppenheimer Equity Income FD	A	Dividend	K	T					
90. Fed. Home Loan Banks	A	Interest	J	T	Buy	04/13/18	J		
91. Wells Fargo Municipal Bond Fund CL B	A	Interest	J	T					
92. Wells Fargo Municipal Bond CL A	A	Interest	J	T					
93. Wells Fargo Muni Bond CL C	A	Interest	J	T					
94. America Funds Tax Exempt Bond Fd. CL C An o/ J-1	A	Interest	K	T					
95. Delaware Small Cap Core FD	A	Dividend	K	T					
96. New World Fund CLC	A	Dividend	K	T					
97. Columbia Emerging Market Bond FD CLC	A	Dividend	J	T					
98. Monroe Twp., NJ RFDG GO	A	Interest	J	T					
99. J.P. Morgan Chase CD	A	Interest	J	T	Buy	10/12/18	J		
100. Treasury Notes - Various Maturities	B	Interest	K	T					
101. Treasury Notes	A	Interest			Redeemed	02/05/18	J		
102. Treasury Notes	A	Interest			Redeemed	03/31/18	J		

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103. Treasury Notes	A	Interest			Redeemed	12/31/18	L		
104. IRA #1	A	Int./Div.	K	T					
105. - Blair Williams FDs International Growth	A	Dividend	J	T					
106. America FDS WMFFX	A	Dividend	J	T					
107. DWS - (Name Change) Sec. Tr.	A	Dividend	J	T					
108. Eaton Vance Income FD	A	Dividend	J	T					
109. - Lazard FDs Emerging Mkts	A	Dividend	J	T					
110. Mainstay Large Cap Growth	A	Dividend	J	T					
111. MFS Ser Tr. X	A	Dividend	J	T					
112. MFS Value FD	A	Dividend	J	T					
113. - First Eagle Sogen Overseas FD	A	Dividend			Sold	08/15/18	J		
114. - Harbor International	A	Int./Div.			Sold	08/15/18	J		
115. - Eagle Small Gap Growth FD	A	Dividend	J	T					
116. - Hotchkiss & Wiley Mid-Cap Val. 1	A	Dividend	J	T					
117. - John Hancock Classic Value FD	A	Dividend	J	T					
118. - Oppenheimer Dev. Mkts	A	Dividend	J	T					
119. - Victory Portfolios	A	Dividend	J	T					

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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)	(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. - Wells Fargo FDS TR Mutual Fund	A	Dividend	J	T					
121. Wells Fargo Core Bond Fund	A	Dividend	J	T					
122. Principal Fds. Global R.E.	A	Dividend	J	T					
123. - Goldman Sacks Treas. Instr.	A	Dividend			Sold	10/05/18	J		
124. T. Rowe Price Real Estate	A	Dividend	J	T					
125. T. Rowe Price Intl. FD	A	Dividend	J	T	Buy	08/15/18	J		
126. - AMG FD Times Square Mid Cap (name change)	A	Dividend	J	T					
127. Voya Large Cap Growth FD	A	Dividend	J	T					
128.									
129.									

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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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/07/2019

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

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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/07/2019

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544