

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Jordan, Kent A.	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 5/4/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 844 N. King Street Unit 10 Wilmington, DE 19801		
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. Insert signature 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.	Member of Executive Committee	Richard S. Rodney Inn of Court
2.	Board Member	American Inns of Court
3.	Board Member	Ministry of Caring
4.	Board Member	Sacred Heart Village
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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. 2/2011	Vanderbilt University - teaching	\$8,955.00
2. 9/2011	University of Pennsylvania School of Law - teaching	\$10,000.00
3. 9/2011	Vanderbilt University - teaching	\$8,000.00
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. 7/11-12/11	Webster Dermatology - 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. George Washington University	1/18/11	Washington, DC	judging moot court competition	food and transportation
2. Vanderbilt University	2/11-19/11	Nashville, TN	teaching	food, lodging and transportation
3. Harvard University	3/10-11/11	Boston, MA	speaker at seminar	food, lodging and transportation
4. Pittsburgh Intellectual Property Law Assoc.	3/15-16/11	Pittsburgh, PA	speaker at seminar	food, lodging and transportation
5. New York Intellectual Property Law Assn.	3/25-26/11	New York, NY	annual dinner	food, lodging and transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

6.	Intellectual Property Owners Association	5/21-26/11	Brussels	speaker at seminar	food, lodging and transportation
7.	Vanderbilt University	9/24-30/11	Nashville, TN	teaching	food, lodging and transportation
8.	The Sedona Conference	10/12-14/11	Del Mar, CA	speaker at seminar	food, lodging and transportation
9.	American Intellectual Property Law Assn.	10/20/11	Washington, DC	speaker	food and transportation
10.	American Inn of Court Foundation and Rodney Inn of Court	11/4-5/11	Washington, DC	Annual Board Meeting	food, lodging and transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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 I (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. Schwab U.S. Treasury Money Fund	A	Dividend	L	T					
2. Gateway Index Plus Fund	A	Dividend	K	T	Sold (part)	8/9/11	J	A	
3.					Buy (add'l)	12/29/11	J		
4. Loomis Sayles Bond	A	Dividend	K	T	Sold (part)	9/23/11	J	A	
5.					Buy (add'l)	10/24/11	J		
6.					Sold (part)	11/21/11	J	A	
7.					Buy (add'l)	12/29/11	J		
8. Pioneer High Yield Fund Class A	A	Dividend			Sold (part)	8/4/11	J	A	
9.					Sold	8/8/11	J	A	
10. Pioneer Global High Yield A	A	Dividend			Sold (part)	8/9/11	J	A	
11.					Sold	8/24/11	J	A	
12. JPMorgan Core Plus Bond A	A	Dividend	K	T					
13. T. Rowe Price Capital Appreciation		None			Sold (part)	8/8/11	J	A	
14.					Sold	8/18/11	J	A	
15. Rydex Technology		None			Buy	2/2/11	J		
16.					Sold (part)	3/10/11	J	A	
17.					Sold (part)	6/10/11	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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)

18.					Sold	6/16/11	J	A	
19. Schwab Emerging Markets Equity	A	Dividend			Sold (part)	5/24/11	J		
20.					Sold	8/5/11	J		
21. Franklin Convertible Securities A	A	Dividend			Buy	2/8/11	K		
22.					Sold (part)	8/3/11	J	A	
23.					Sold	8/8/11	J	A	
24. Rydex Inverse Emerging Markets 2X		None			Buy	3/11/11	J		
25.					Sold	7/8/11	J		
26. DireXion HY Bear Fund		None			Buy	6/17/11	J		
27.					Buy (add'l)	8/2/11	J		
28.					Sold	10/12/11	K		
29. ProFunds Short Real Estate		None			Buy	9/29/11	J		
30.					Sold	10/21/11	J		
31. DWS High-Yield Fund	A	Dividend	K	T	Buy	10/26/11	J		
32.					Buy (add'l)	10/27/11	J		
33. Rydex Healthcare		None	K	T	Buy	11/3/11	J		
34.					Buy (add'l)	11/11/11	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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)

35.					Sold (part)	11/22/11	J		
36.					Buy (add'l)	12/29/11	J		
37. Rydex Inverse High Yield Strategy H		None			Buy	11/17/11	J		
38.					Buy (add'l)	11/23/11	J		
39.					Sold (part)	11/28/11	J		
40.					Sold	12/2/11	J		
41. Texaco/Chevron Corp. Common Stock	A	Dividend	J	T					
42. Texaco/Chevron Corp. Common Stock	A	Dividend	J	T					
43. Texaco/Chevron Corp. Common Stock	A	Dividend	J	T					
44.									
45.									
46.									
47.									

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Jordan, Kent A.

Date of Report

5/4/2012

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/ **Kent A. Jordan**

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