

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 12/02/2021
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 01/01/2020 to 12/31/2020
	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.		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cowen, Robert E.

Date of Report

12/02/2021

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. 2020	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.	12/02/2021

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) 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)	B	Dividend	K	T					
5. Black Rock Inc.	A	Dividend	K	T					
6. Chubb Corp. (Common Stock) A Dividend K T	A	Dividend	K	T					
7. Cisco Systems (Common Stock)	B	Dividend	K	T					
8. Calvert Equity Fund	A	Dividend	K	T	Buy	11/03/20	K		
9. Colgate Palmolive (Common Stock)	A	Dividend	J	T					
10. Calvert Impact Fund	A	Dividend	K	T	Buy	12/03/20	K		
11. Conoco Phillips (Common Stock)	A	Dividend	K	T					
12. Emerson Electric (Common Stock)	A	Dividend	J	T					
13. ExxonMobil (Common Stock)	A	Dividend	J	T					
14. FedEx Corp. (Common Stock)	A	Dividend	K	T					
15. Goldman Sachs Gr. Op. Fd. (Mutual Fund)		None	L	T					
16. First Trust ETF	A	Dividend	K	T					
17. Home Depot (Common Stock)	B	Dividend	L	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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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. Intel Corp. (Common Stock)	A	Dividend	K	T					
19. Johnson & Johnson (Common Stock)	B	Dividend	K	T					
20. JP Morgan Chase (Common Stock)	B	Dividend	L	T					
21. McDonalds Corp. (Common Stock)	A	Dividend	K	T					
22. N.J. Res Corp. (Common Stock)	A	Dividend	J	T					
23. Nextera Energy (Common Stock)	B	Dividend	L	T					
24. Microsoft Corp. (Common Stock)	B	Dividend	M	T					
25. Phillips 66 PSX (Common Stock)	A	Dividend	J	T					
26. PNC Financial Serv. Group	A	Dividend	J	T					
27. Public Service Enterprise Group Inc. (Common Stock)	A	Dividend	K	T					
28. VIRTUS FD-Midcap	A	Dividend	K	T					
29. Sysco Corp. (Common Stock)	A	Dividend	J	T					
30. WalMart Inc.	A	Dividend	K	T					
31. Target Corp. (Common Stock)	A	Dividend	K	T					
32. 3M Co. (Common Stock)	A	Dividend	K	T					
33. Apple (Common Stock)	A	Dividend	K	T					
34. Abbvie Inc. (Common Stock)	A	Dividend	J	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	
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.)

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35. United TechnologiesNow Raytheon Technologies	A	Dividend	K	T					
36. United Health Grp. Inc.	A	Dividend	K	T					
37. Abbot Labs (Common Stock)	A	Dividend	J	T					
38. AT & T (Common Stock)	A	Dividend	J	T					
39. Wells Fargo Adv. Asset All. FD	A	Dividend	J	T					
40. Eaton-Vance Tax Free (Municipal Fund)	A	Dividend	J	T					
41. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					
42. IShares Russell 2000 ETF	A	Dividend	K	T					
43. IShares Core S&P Mid Cap	A	Dividend	J	T					
44. IShares Corp. U.S. Bond ETF	A	Dividend	J	T					
45. IShares 1 Boxx ETF	A	Dividend	J	T					
46. IShares ETF S & P Mid-Cap 400 Value	A	Dividend			Sold	04/06/20	J		
47. IShares ETF S & P Mid-Cap 400 Growth	A	Dividend			Sold	04/06/20	J		
48. IShares ETF S & P Index 500	A	Dividend	J	T	Buy	07/27/20	J		
49. IShares ETF S & P 500 Value	A	Dividend	J	T					
50. IShares ETF S & P Index 500	A	Dividend	J	T	Buy	07/27/20	J		
51. IShares ETF S & P 500 Growth	A	Dividend	J	T					

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3 Value Method Codes (See Column C2)					

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52. IShares ETF Int'l Select	A	Dividend	J	T					
53. Vanguard Midcap ETF	A	Dividend	J	T					
54. Invesco EM MAR ETF	A	Dividend	J	T					
55. Vanguard Intl. Equity ETF	A	Dividend	K	T					
56. Vanguard FTSE Developed Mkts ETF	A	Dividend	K	T					
57. Mainstay Real Estate Fund (new name)	A	Dividend	J	T					
58. Lord Abbett Trst Growth	A	Dividend	M	T					
59. Alhambra, Ct.	A	Interest	J	T					
60. Lancaster, CA School District	A	Interest			Redeemed	02/05/20	J		
61. Lancaster, CA Redev.	A	Interest	J	T					
62. Albany CA G/O	A	Interest	K	T	Buy	01/08/20	K		
63. Riverside Cty, CA 10-01-23	B	Interest	K	T					
64. Riverside Cty. CA 10-01-32	A	Interest	J	T					
65. San Francisco Comm.College	A	Interest			Redeemed	01/06/20	K		
66. Los Angeles Comm. College	A	Interest	K	T					
67. Essex Cty Impt Auth	A	Interest			Redeemed	11/01/20	J		
68. Goldman Sachs Grp. Inc.	A	Interest	J	T					

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69. Goldman Sachs Note	B	Interest	K	T	Buy	11/03/20	J		
70. Turlock, CA Uni Sch. Dist.	A	Interest	K	T					
71. Tahoe Truckee, CA	A	Interest	J	T					
72. San Francisco City & Cnty	A	Interest	J	T					
73. San Lorenzo, CA	A	Interest	J	T					
74. Kings Canyon, CA	A	Interest	J	T					
75. Hayward, CA Uni School Dist.	B	Interest	K	T					
76. Rowland CA Un. School Dist.	A	Interest	K	T					
77. Livermore Valley School Dist.	A	Interest	J	T					
78. Greenfield, CA Redev.	A	Interest	J	T					
79. Invesco/Oppenheimer Equity Income FD	A	Dividend	K	T					
80. Verizon Global Notes	A	Interest	J	T	Buy	11/03/20	J		
81. Wells Fargo Municipal Bond Fund CL B	A	Interest	J	T					
82. Wells Fargo Municipal Bond CL A	A	Interest	K	T					
83. Wells Fargo Muni Bond CL C	A	Interest	J	T					
84. America Funds Tax Exempt Bond Fd. CL C	A	Interest	K	T					
85. Delaware Small Cap Core FD	A	Dividend	K	T					

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86. New World Fund CLC	A	Dividend	K	T					
87. Columbia Emerging Market Bond FD CLC	A	Dividend	J	T					
88. Monroe Twp., NJ RFDG GO	A	Interest	J	T					
89. Tennessee Valley Auth.	A	Interest	J	T					
90. Treasury Notes - Various Maturities	A	Interest			Redeemed	11/15/20	J		
91. Franklin Income Fund	C	Dividend	L	T	Buy	12/18/20	L		
92. Fidelity Inc. Money Market	A	Interest			Sold	11/18/20	K		
93. FNMA	A	Interest	J	T					
94. First Trust Portfolio	A	Int./Div.	K	T					
95. Baron Select Funds	A	Dividend	J	T	Buy	06/16/20	J		
96. - Blair Williams FDs International Growth	A	Dividend			Sold	03/19/20	J		
97. Dodge & Cox FDS	A	Dividend			Sold	06/16/20	J		
98. America FDS WMFFX	A	Dividend	J	T					
99. Eaton Vance Income FD	A	Dividend	J	T					
100. - Lazard FDs Emerging Mkts	A	Dividend			Sold	06/16/20	J		
101. Mainstay Large Cap Growth	A	Dividend	J	T					
102. MFS Ser Tr. X	A	Dividend	J	T					

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103. MFS Value FD	A	Dividend	J	T					
104. - Eagle Small Gap Growth FD	A	Dividend	J	T					
105. - John Hancock Classic Value FD	A	Dividend			Sold	06/16/20	J		
106. Invesco/Oppenheimer Dev. Mkts	A	Dividend	J	T					
107. - Victory Portfolios	A	Dividend	J	T					
108. - Wells Fargo FDS TR Mutual Fund	A	Dividend	J	T					
109. Wells Fargo Core Bond Fund	A	Dividend	J	T					
110. - Goldman Sacks Treas. Instr.	A	Dividend		T	Sold	07/10/20	J		
111. T. Rowe Price Intl. FD	A	Dividend	J	T					
112. - AMG FD Times Square Mid Cap	A	Dividend	J	T					
113. Voya Large Cap Growth FD	A	Dividend	J	T					
114.									
115.									

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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/ **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