

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Greenaway, Joseph A.	2. Court or Organization U.S. Court of Appeals for the Third Circuit	3. Date of Report 5/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. P.O. & Federal Courthouse Federal Square and Walnut St. Newark, NJ 07101		
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.	Associate Editor	ABA Litigation Magazine
2.	Board Member	Board of Visitors of Columbia College
3.	Council Member	Newark Museum
4.	Trustee	
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.	94-96	Johnson & Johnson Employee Savings Plan
2.	95-96	Johnson & Johnson Pension Plan
3.		

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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. 2013	[REDACTED] - teaching	\$26,925.00
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. 2013	self-employed legal consultant
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. Columbia College	January 13, 2013	New York, NY	Attend Task Force meeting	transportation
2. American Bar Association	February 15-17, 2013	Hollywood, FL	Prof. assoc. meeting	transportation, lodging, meals
3. [REDACTED]	March 2-3, 2013	New York, NY	Judge moot court competition	transportation, lodging, meals
4. [REDACTED]	March 8, 2013	Norwalk, CT	Attend Board of Trustees meeting	transportation, lodging, meals
5. New York Intellectual Property Law Association	March 29-30, 2013	New York, NY	Prof. assoc. meeting	lodging, meal
6. American Bar Association	April 26-27, 2013	Chicago, IL	Prof. assoc. meeting	transportation, lodging, meals

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7.	Suffolk University	May 19-20, 2013	Boston, MA	Receive honorary degree	transportation, lodging, meals
8.		June 13-15, 2013	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
9.	American Bar Association	September 27-28, 2013	Chicago, IL	Prof. assoc. meeting	transportation, lodging, meals
10.		December 12-14, 2013	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Magyar Savings Bank	Line of Credit	M
2.	American Express	Credit Card	K
3.	Citibank Mastercard	Credit Card	K
4.			
5.			

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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. American Express common stock	A	Dividend	J	T					
2. Merck common stock	A	Dividend	J	T					
3. Microsoft common stock	A	Dividend	K	T					
4. McDonalds common stock	A	Dividend	J	T					
5. Johnson & Johnson common stock	D	Dividend	O	T					
6. U.S. Savings Bonds	A	Interest	J	T					
7. Citibank (checking & savings)	A	Interest	J	T					
8. Disney common stock	A	Dividend	J	T					
9. Intel common stock (Y)									
10. Johnson & Johnson 401(k)	A	Interest	N	T					
11. Nextel/Sprint common stock (Y)									
12. AT&T common stock (Y)									
13. U.S. Treasury Strips	A	Interest	J	T					
14. GE common stock	A	Dividend	J	T					
15. Pfizer common stock	A	Dividend	J	T					
16. Comcast common stock	A	Dividend	J	T					
17. Wells Fargo (formerly Wachovia) Securities IRA money market	A	Int./Div.	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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18. Northwestern Mutual Life Insurance		None	M	W					
19. Vanguard 401K Midcap Growth Fund	A	Dividend	K	T					
20. Vanguard 401K Energy Fund	A	Dividend	K	T					
21. Vanguard 401K Healthcare Fund	A	Dividend	L	T					
22. Vanguard 401K Total Stock Market Index	A	Dividend	M	T					
23. Vanguard 401K Growth Index	A	Dividend	K	T					
24. Vanguard 401K Dividend Growth	A	Dividend	K	T					
25. Vanguard 401K GNMA	A	Dividend	L	T					
26. Vanguard 401K Total Bond Market Index	A	Dividend	K	T					
27. Vanguard 401K High Yield Bond	A	Dividend	M	T					
28. Google common stock		None	J	T					
29. Apple common stock	A	Dividend	J	T					
30. Ameriprise common stock (X)	A	Dividend	J	T					
31. AllianceBernstein Large-Cap Growth Fund (X)		None	J	T					
32. AllianceBernstein Global Thematic Growth Fund (X)		None	J	T					
33. Oppenheimer Main Street Fund (X)	A	Dividend	J	T					
34. ADP common stock (X)	A	Dividend	J	T					

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35. Facebook (X)		None	K	T					

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

Comments to Section VII.

On line 17, Wachovia became Wells Fargo. The only change was to the corporate name, not to any of my holdings.

Lines 30-35: In the past, several investments did not exceed the \$1,000 value threshold that required they be reported. This year, their value has exceeded the \$1,000 threshold so I have added them to my report in Section VII. Those investments are Ameriprise common stock, AllianceBernstein Large-Cap Growth Fund, AllianceBernstein Global Thematic Growth Fund, Oppenheimer Main Street Fund, and ADP. Since my acquisition of these assets, they have been included on my recusal list. In addition, I purchased shares of Facebook in late 2012. While I added Facebook to my recusal list upon purchasing it, I inadvertently omitted this transaction from my 2012 financial report. The value code for the purchase would be K.

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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/ Joseph A. Greenaway**

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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