

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 10/24/2017
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 01/01/2016 to 12/31/2016
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.	Trustee	
3.	Trustee	
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.	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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	- 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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. [REDACTED]	March 1-5, 2016	Paris, France	Attend Board of Trustess meeting	transportation, lodging, meals
2. NY Intellectual Property Law Association	April 1-2, 2016	New York, NY	Attend dinner in honor of the judiciary	lodging, meal
3. [REDACTED]	June 9-11, 2016	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
4. [REDACTED]	October 6-8, 2016	New York, NY	Attend Board of Trustees meeting	transportation, lodging, meals
5. [REDACTED]	December 1-4, 2017	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.	American Express	Credit Card	K
2.	Citibank Mastercard	Credit Card	K
3.			
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. Merck common stock	A	Dividend	J	T					
2. Microsoft common stock	B	Dividend	L	T	Buy (add'l)	06/21/16	K		
3. McDonalds common stock	A	Dividend	L	T	Buy (add'l)	03/16/16	K		
4. Johnson & Johnson common stock	E	Dividend	O	T					
5. U.S. Savings Bonds	A	Interest	J	T					
6. Citibank (checking & savings)	A	Interest	J	T					
7. Disney common stock	A	Dividend	K	T					
8. Intel common stock	A	Dividend	J	T					
9. Johnson & Johnson 401(k)	A	Interest	N	T					
10. U.S. Treasury Strips	A	Interest	J	T					
11. GE common stock	A	Dividend	J	T					
12. Pfizer common stock	A	Dividend	J	T					
13. Comcast common stock	A	Dividend	J	T					
14. Wells Fargo Cash Sweep Program IRA	A	Int./Div.	L	T					
15. Northwestern Mutual Life Insurance whole life policy		None	N	T					
16. Vanguard 401K Healthcare Fund	A	Dividend	K	T	Sold (part)	02/22/16	K	A	
17.					Sold (part)	09/27/16	L	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 \$5,000,000	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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	(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.					Buy (add'l)	11/17/16	K		
19. Vanguard 401K Total Stock Market Index	B	Dividend	L	T					
20. Vanguard 401K Dividend Growth	B	Dividend	L	T					
21. Alphabet common stock		None	L	T	Buy (add'l)	03/16/16	K		
22.					Buy (add'l)	10/31/16	K		
23. Apple common stock	A	Dividend	K	T					
24. AllianceBernstein Large-Cap Growth Fund		None	J	T					
25. AllianceBernstein Global Thematic Growth Fund	A	Dividend	J	T					
26. Oppenheimer Main Street Fund	A	Dividend	J	T					
27. ADP common stock	A	Dividend	J	T					
28. Facebook		None	L	T					
29. Vanguard Windsor Fund	B	Dividend	L	T					
30. Vanguard 401K Value Index Fund	B	Dividend	L	T	Buy (add'l)	02/22/16	K		
31.					Sold (part)	10/31/16	K	A	
32.					Sold (part)	11/17/16	K	A	
33. Vanguard 401K Prime Money Market Fund	A	Dividend	J	T	Sold (part)	06/21/16	K	A	
34.					Sold (part)	11/03/16	K	A	

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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.					Sold (part)	11/17/16	M	A	
36. Chase Bank	A	Interest	K	T					
37. Vanguard I-T Investment Grade Fund	A	Dividend			Sold	02/22/16	J	A	
38. Vanguard S-T Investment Grade Fund	A	Dividend			Sold	02/22/16	J	A	
39. Vanguard 500 Index Fund	A	Dividend			Sold	06/21/16	K	A	
40. IBM	C	Dividend	L	T					
41. Neuberger Berman Absolute Return MultiManager CLA		None			Sold	02/22/16	M	A	
42. Amazon		None	L	T	Buy	03/16/16	K		
43.					Buy (add'l)	10/31/16	K		
44. AT&T (x)	A	Dividend	J	T					
45. Vanguard Small Cap Index Admiral Fund	A	Dividend	L	T	Buy	06/21/16	K		
46.					Buy (add'l)	10/31/16	K		
47. Vanguard Mid Cap Value Index Admiral	A	Dividend	K	T	Buy	06/21/16	K		
48. Wellsley Income Admiral Fund		None			Buy	10/31/16	K		
49.					Sold	11/17/16	K	A	
50. Vanguard Wellington Admiral Fund	A	Dividend	L	T	Buy	11/17/16	K		
51. Fidelity Low Priced Stock Fund	B	Dividend	M	T	Buy	11/17/16	M		

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

Comments to Section VII.

On line 15, I list Northwestern Mutual Life Insurance. This policy is a whole life policy.

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