

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) Stapleton, Walter K.	2. Court or Organization U.S. Court of Appeals for the Third Circuit	3. Date of Report 12/16/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior Status	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 Federal Building 844 King Street - Lockbox 33 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.		

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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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

Chester County Country Properties (real estate brokerage firm)

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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.

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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. Baxter Int'l Com.	A	Dividend	K	T					
2. Conoco Phillips Com. (part sold 8/13/12)	B	Dividend	K	T					
3. J&J Com.	A	Dividend	K	T					
4. Marathon Oil Corp. Com.	A	Dividend	K	T					
5. Merck Com.	B	Dividend	K	T					
6. Pepsico Com.	A	Dividend	K	T					
7. Kimberly Clark Com.	B	Dividend	K	T					
8. Southern Co. Com.	B	Dividend	K	T					
9. Exxon Mobil	B	Dividend	K	T					
10. 3M Corp.	B	Dividend	L	T					
11. SEI Tax Exempt Trust Account	A	Dividend	K	T					
12. Chubb Com.	A	Dividend	K	T					
13. Cisco Sys. Com.	A	Dividend	K	T					
14. Emerson Elec. Com.	B	Dividend	K	T					
15. Acorn II LP (*org. inv. Ponzi scheme; present value unknown)		None							
16. Clarco Inc.	A	Dividend	K	T					
17. Fleetwood PA Bd. 6/1/16	B	Interest	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 \$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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18. J.M.Schmucker Co.	A	Dividend	K	T					
19. Vanguard Emg. Mkt. ETF	A	Dividend	K	T					
20. Vanguard FTSE All World ex. U.S.	B	Dividend	K	T					
21. IShares MSCI Pac. ex. Japan	B	Dividend	K	T					
22. AT&T	B	Dividend	K	T					
23. Hummelstown PA Bd. 11/15/24	B	Interest	L	T					
24. Bar Hrb Bankshares	A	Dividend	K	T					
25. Nat'l GRI-ADR	B	Dividend	K	T					
26. Teva Phar. Ind.	A	Dividend	K	T					
27. Roche Hldg. Ltd.	A	Dividend	K	T					
28. Buckeye Tech. (cash merger)	A	Dividend				8/26/13	J	C	
29. Microsoft Corp.	B	Dividend	K	T					
30. Schlumberger Ltd.	A	Dividend	K	T					
31. Wisdomtree Emer. Mkt.	A	Dividend	J	T					
32. Sigma Aldrich Corp.	A	Dividend	K	T					
33. Stericycle		None	K	T					
34. Microsoft Corp.	B	Dividend	K	T					

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35. Ishares Pac. ex. Japan	B	Dividend	J	T					
36. Spectra Energy Corp.	B	Dividend	K	T					
37. Wallingford-Swart PA	A	Interest	K	T					
38. Spring Ford Area Sch.		None			Redeemed	3/1/13	K	A	
39. Warwick PA Sch.	B	Interest	M	T					
40. IShares Dow Jones Select	A	Dividend	K	T					
41. Duke Energy	B	Dividend	K	T					
42. Nuveen Perform. Plus. Muni.	B	Dividend	K	T					
43. Buckeye Partners	D	Interest	M	T					
44. Johnson & Johnson Com.	A	Dividend	K	T					
45. Merck & Co. Com.	B	Dividend	K	T					
46. Real Estate Chester Co. PA (App.Date 6/30/11; \$950,000)		None	O	Q					
47. Star Bancorp.	A	Dividend	L	T					
48. Polymedix		None			Sold	12/6/13	J	A	
49. Fleetwood PA Bd.	B	Interest	L	T					
50. PA-exempt Mun. Bd.	B	Interest	L	T					
51. Bucks Co. Water & Sewer	A	Interest			Redeemed	12/2/13	K	A	

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52. Powershares Exch.	A	Interest	J	T					
53. Berkshire Hathaway, Inc.		None	J	T					
54. IShares Nasdaq Biotech	A	Dividend	J	T					
55. Natixis ASG Global	C	Dividend	K	T					
56. IRA	D	Int./Div.	O	T					
57. - IShares Select	B	Dividend	L	T					
58. - IShares US Medical	A	Dividend	K	T					
59. - StreetTracks Gold Trust									
60. - IShares S&P Mid. Cap.									
61. - IShares DJ US Util.									
62. - IShares US Healthcare									
63. - IShares FTSE Xinhua									
64. - IShares Trust-Dow J Sel. Div.									
65. - IShares T NASDAQ									
66. - Plum Creek Timber Co.									
67. - ML Bank USA RASP account									
68. - IShares S&P Latin. Am.									

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69. - Powershares DB Commodity									
70. - iShares So. Africa									
71. - iShares Trust DJ US Ind.									
72. - Sector SPDR Consumers									
73. - Retirement Res. CLI account									
74. - Berkshire Hathaway Inc.									
75. - iShares Tr. Dow US									
76. - Powershares Global Water									
77. - iShares DJ US Oil & Gas									
78. - iShares Barclays Treas.									
79. - iShares MSCI Emer.									
80. - iShares MSCI USA					Sold	12/27/13	J	B	
81. - iShares Barclays 1-3 Credit									
82. - Pimco Short Maturity									
83. - ALPS Alerian									
84. - iShares MSCI Mexico					Buy	12/27/13	J		
85. - Guggenheim S&P500 Eq. Wtd. ETF					Buy	12/27/13	J		

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86. - iShares Trans. Ave					Buy	12/27/13	J		
87. - Vanguard MSCI Eur. ETF					Buy	12/27/13	J		
88. - AMEX Tech. SPD					Buy	12/27/13	J		
89. Ches. Co. Country Properties SEP -	D	Int./Div.	O	T					
90. - Berkshire Hathaway, Inc									
91. - Templeton Global Total									
92. - US Treas. Inflation Note 1/15/28					Sold	6/3/13	L	B	
93. - US Treas. Inflation Note 1/15/15									
94. - ML Bank USA RASP account									
95. - US Treas. Inflation Note 1/15/20									
96. - BAC Mitts Ind. 1/29/16									
97. - ML&Co. SRN MLFI-TR					Redeemed	7/3/13	J	A	
98. - US Treas. Inflation Note 7/15/20									
99. - Endowment TEI Fund					Sold	8/14/13	J	A	
100. - U.S. Treas. Inflation Note 1/15/18									
101. - Natixis ASG Global									
102. - BAC Clim. Rogrer									

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103. - Vanguard Total St. Mk.					Buy	12/27/13	K		
104. - MLCX Clim Ban Corp									
105. T. Rowe Price Sci.&Tech.Fd.		None	K	T					
106. Exxon Com.	A	Dividend	J	T					
107. Acorn II LP (org. inv. Ponzi scheme; present value unknown)		None							
108. SEI Tax Exempt Trust account	A	Dividend	J	T					
109. Kimberly Clark Com.	B	Dividend	K	T					
110. Cincinnati Fin. Corp. Com.	A	Dividend	K	T					
111. SEI Investments Co.	A	Dividend	J	T					
112. Colgate Palmolive	A	Dividend	K	T					
113. Rayonier, Inc.	B	Dividend	K	T					
114. Stericycle, Inc.		None	K	T					
115. Fleetwood PA Bd.	B	Interest	L	T					
116. Polymedix Inc.		None			Sold	12/11/13	J	A	
117. Graco Inc.	A	Dividend	K	T					
118. Pine Grove Sch. Bd.	A	Interest	K	T					
119. AT&T Inc.	B	Dividend	K	T					

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120. Spectra Energy Corp.	A	Dividend	J	T					
121. Genesee & Wyo. Inc.		None			Sold	5/3/13	L	E	
122. Donaldson Inc.	A	Dividend	K	T					
123. BP PLC Spons ADR	A	Dividend	J	T					
124. iShares MSCI Pac. ex. Japan	A	Dividend	K	T					
125. Bar Harbor Bankshares	A	Dividend	K	T					
126. CMA PA Mun. account	B	Interest	M	T					
127. Warwick PA Sch. Dist. Bd.	C	Interest	M	T					
128. N. Pocono Sch. Dist. Bd.	C	Interest	M	T					
129. Council Rock Sch. Dist. Bd.	B	Interest	L	T					
130. PA St. First	B	Interest	L	T					
131. CD Western Bank PR	C	Interest	K	T					
132. Monroeville PA Bond	A	Interest	K	T					
133. Unionville-Chadds Ford Bd	B	Interest	L	T					
134. Bloomsberg Area Sch. Dist.	B	Interest	L	T					
135. Towanda Area Sch. Dist.	A	Interest	K	T					
136. Westmoreland PA Mun.	A	Interest	K	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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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)
137. Ringgold PA Sch. Dist.	B	Interest	L	T					
138. Lower Allen PA Bd	B	Interest	L	T					
139. Unionville-Chadds Ford Bd	A	Interest	L	T					
140. Covidien		None	K	T					
141. Nat'l GRI-ADR		None	K	T					
142. Wisdomtree Emer. Mkts	A	Dividend	K	T					
143. Novartis AG	A	Dividend	K	T					
144. Microsoft Corp.	A	Dividend	K	T					
145. Nat'l Fuel Gas Co.	A	Dividend	K	T					
146. Schlumberger Ltd.	A	Dividend	K	T					
147. Sigma Aldrich	A	Dividend	K	T					
148. Stericycle		None	K	T					
149. Kinder Morgan Energy	B	Dividend	K	T					
150. CMA PA Municipal account	B	Interest	L	T					
151. Del. Valley Sch. Dist. Bd.	A	Interest	K	T					
152. Perkiomen Sch. Dist. Bd.		None			Redeemed	3/1/13	K	A	
153. Nashaminy Sch. Dist.	A	Interest	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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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)
154. Pa. TPK CML OIL	B	Interest	L	T					
155. Pa. St. Bond	B	Interest	L	T					
156. Spring-Ford Pa. Bd.	A	Interest	K	T					
157. Pa. State Bd.	A	Interest	L	T					
158. Erie Indmnty Co.	A	Dividend	K	T					
159. Vanguard Emer. Mkts ETF	A	Dividend	K	T					
160. Vanguard FTSE All-World Ex. US	A	Dividend	K	T					
161. Graco	A	Dividend	K	T					
162. SPDR SP Bric 40	A	Dividend	J	T					
163. Duke Energy	A	Dividend	K	T					
164. Vanguard All World Ex. US	A	Dividend	K	T					
165. Vanguard Emer. Mkts ETF	A	Dividend	K	T					
166. Alps Alerian MLP ETF	A	Dividend	K	T					
167. Mechanicsburg Pa Bd.	A	Interest	K	T					
168. Chester Co. Pa Bd.	A	Interest	K	T					
169. Real Estate Chester Co. Pa (4/27/10) (\$265,000)	D	Rent	N	R					
170. Real Estate Eaglesmere PA (9/4/12) (\$330,000)		None	N	R					

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

The shares of iShares Select reported on line 57 were acquired on 3/21/05 for consideration in category L. This purchase and its subsequent ownership were omitted from my 2005-2012 reports. This omission resulted from the fact that the portfolio inventories supplied to me prior to 2013 by my investment firm did not disclose these facts.

The shares of iShares U.S. Medical reported on line 58 were acquired on 7/2/08 for consideration in category K. This purchase and its subsequent ownership were omitted from my 2008-2012 reports. This omission resulted from the fact that the portfolio inventories supplied to me prior to 2013 by my investment firm did not disclose these facts.

This report identifies four securities as held by an IRA during 2013: iShares Select (page 7, line 57); iShares U.S. Medical (page 7, line 58); iShares Tr. D.J. Sel. Div. (page 7, line 64); and iShares Tr. Dow U.S. (page 7, line 75). Subsequent inquiry has disclosed that this constitutes a duplication. The first two are new names for the latter two. These securities are correctly identified in my prior reports as iShares Trust-D.J. Sel. Div. and iShares Tr. Dow U.S. and correctly identified in this report as iShares Select and iShares U.S. Medical.

Plowshares Wilterhill Progressive Energy Port., which was erroneously included in my 2012 report, page 9, line 94, was properly excluded from this report. In 2012, this asset was no longer held by the IRA. As reported in the appropriate reports under the abbreviated name Plowshares Wilterhill, this asset was acquired on July 2, 2008, and sold on January 27, 2009. See 2008 report, page 9, line 95; 2009 report, page 9, line 95. This sale was erroneously reported as a partial sale and this resulted in this asset erroneously being included as held by the IRA in my 2010 and 2011 reports. The value of these 200 shares was within the J range at both the time of purchase and the time of sale.

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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/ **Walter K. Stapleton**

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
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