

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Nygaard, Richard L.	2. Court or Organization Third Circuit Court of Appeals	3. Date of Report 04/23/2013
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 17 South Park Row Suite B-230 Erie, PA 16501		
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2012	Pennsylvania State Retirement System	\$16,542
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.				
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.)*

<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.		
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. Erie Federal Credit Union	A	Interest	J	T					
2. Savings Account at Los Angeles F&A Credit Union	A	Interest	J	T					
3. Checking/Saving Account at PNC, North East, PA	B	Interest	J	T					
4. Real Estate, Mina Twnshp, Chautauqua County, NY \$153,700		None	M	S					
5. Safety Kleen - Stock		None			Closed	12/31/12	J		
6. Jetronic Industries - Stock		None			Closed	12/31/12	J		
7. ☐ Shares GCA		None			Sold	05/21/12	J	A	
8. ☐ Shares TIVO		None	J	T					
9. ☐ Shares CBEH		None			Sold	01/18/12	J	A	
10. LLEN		None			Sold	03/09/12	J	A	
11. PWER		None	J	T					
12. MIPS		None			Sold	01/19/12	J	A	
13. ZINC		None			Sold	03/18/12	J	A	
14. CAT 7 January 80 Puts		None			Expired	01/19/12	J	A	
15. POT 10 January \$36.67 Puts		None			Expired	01/19/12	J	A	
16. WAT 3 January \$65 Puts		None			Expired	01/19/12	J	A	
17. V 7 January \$92.50 Puts		None			Expired	01/19/12	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$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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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. SLB 7 January \$60 Puts		None			Expired	01/19/12	J	A	
19. NKE 7 January \$90 Puts		None			Expired	01/19/12	J	A	
20. TGT 10 January \$49 Puts		None			Expired	01/19/12	J	A	
21. DVN 10 January \$55 Puts		None			Expired	01/19/12	J	A	
22. AVEO 10 January \$22.50 Calls		None			Expired	01/19/12	J	A	
23. X 10 January \$21 Puts		None			Expired	01/19/12	J	A	
24. SWKS 10 January \$23 Puts		None			Sold	11/02/12	J	A	
25. X 10 January \$25 Puts		None			Sold	10/03/12	J	A	
26. TIBX 10 January \$28 Puts		None			Sold	11/12/12	J	A	
27. PIR 10 January \$20 Puts		None			Sold	12/12/12	J	A	
28. AMRN 10 January \$9 Puts		None			Sold	12/13/12	J	A	
29. EGO 10 January \$14 Puts		None			Sold	12/19/12	J	A	
30. BHI 1 January \$43 Puts		None			Sold	12/19/12	J	A	
31. NUAN 10 January \$24 Puts		None			Sold	12/20/12	J	A	
32. RIMM 10 January \$12 Puts		None			Sold	12/21/12	J	A	
33. KORS 5 January \$44 Puts		None			Sold	12/31/12	J	A	

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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/ **Richard L. Nygaard**

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