

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Sloviter, Dolores K.	2. Court or Organization United States Court of Appeals for the Third Circuit	3. Date of Report 01/14/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 18614 United States Courthouse 601 Market Street Philadelphia, PA 19106		
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

Page 2 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

01/14/2016

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. 2014

TIAA - CREF Annuities - Retirement Deferred Compensation. Amount received \$47,890 during 2014

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

01/14/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

01/14/2016

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. AT&T - com. stock	D	Dividend	M	T					
2. Beneficial Mutual Bancorp - com. stock	A	Dividend	J	T					
3. Bethlehem PA 3.625%	A	Interest	K	T	Buy	10/03/14	J		
4. McKeesport PA 3.875%	A	Interest	K	T	Buy	07/02/14	K		
5. Exelon - com. stock	C	Dividend	L	T					
6. GE - com. stock	C	Dividend	O	T					
7. IT&T Industries - com. stock (new)	A	Dividend	J	T					
8. HanesBrand, Inc. - com. stock	A	Dividend	J	T					
9. Hartford Fin. Services - com. stock	A	Dividend	J	T					
10. Hillshire Brands Co.	A	Dividend			Sold	09/03/14	J	D	
11. PSEG	A	Dividend	K	T					
12. Exelis	A	Dividend	J	T					
13. Xylem	A	Dividend	J	T					
14. Vanguard Mun. Bond Funds - see VIII	G	Dividend	P1	T					
15. Vanguard Windsor II	F	Dividend	O	T					
16. Vanguard Star Fund	C	Distribution	M	T					
17. Vanguard 500 Index Fund	D	Dividend	M	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 ~\$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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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) Amount Code I (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. Allegheny Higher Ed., 4.5%, '22	A	Interest	J	T					
19. Allentown Pa Parking Auth. 5%, '38	A	Interest	J	T					
20. West Mifflin Pa Area S.D. B/E	A	Interest	K	T					
21. Chambersburg S.D., 4.6%, '25	B	Interest	K	T					
22. Cecil Twp. Pa. 2.9%	B	Interest	L	T					
23. Dauphin Cty., 4%, '26	B	Interest			Sold	12/30/14	K	A	
24. Greater Johnstown, 5%, '19	A	Interest	J	T					
25. Northampton, 5%, '39	A	Interest	K	T					
26. Northeastern, PA 4.5%, '26	B	Interest	K	T					
27. Pa. Hsg. Fin. Agency, 4.25, '24	A	Interest	J	T					
28. Pa. Hsg. Fin. Agency, 5.0%, '23	B	Interest	J	T					
29. Pa. 4th Series, 4.5%, '24	A	Interest			Sold	7/1/14	K	A	
30. Pa. St. HFA, 4.5%, '24	A	Interest	K	T					
31. Pa. Turnpike, 4.75%, '27	A	Interest			Sold	9/17/14	J	A	
32. Pa. First Series B, 4.375%, '27	A	Interest	K	T					
33. Pa. St. Pub. Sch. Bldg., 4.3%, '27	A	Interest	J	T					
34. Pa. First Series B/E, 4.375%, '28	B	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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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Sloviter, Dolores K.

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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)

35. Pa. Turnpike, 5%, '39	A	Interest			Sold	9/17/14	J	A	
36. Pa. Hsg. Fin. Agency, 4.75%, '39	B	Interest			Sold	7/1/14	J	A	
37. Phila. Parking, 5.125%, '24	A	Interest	J	T					
38. Plum Boro Pa/SD 2.9% 25	A	Interest	K	T					
39. Reading, 4.45%, '27	B	Interest	K	T					
40. Reading S.D., 4.75%, '38	B	Interest	K	T					
41. Somerset S.D., 4.2%, '22	A	Interest	K	T					
42. Wells Fargo	A	Interest	K	T					
43. Temple University Charitable Gift Annuity	A	Interest	K	T					
44. Univ. of Pennsylvania Charitable Gift Annuity	A	Interest	K	T					
45. Pa. Hg Fin. 4.625%, '31	A	Interest	K	T					
46. Reading Water 5.0,	B	Interest	K	T					
47. Uniontown Area SD 4.35%, '34	A	Interest			Sold	10/01/14	K	A	
48. Frazier Pa. School District, 2.5%	A	Interest	K	T					
49. Neshannock Twp. Pa School	B	Interest	L	T					
50. Washington Pa Parking Authority 3%, '23	B	Interest	L	T					
51. Jeannette Pa School District, 2.75%	C	Interest	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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Sloviter, Dolores K.

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52. Highridge Pa Wtr Auth '24	B	Interest	L	T					
53. Midd West Sch District PA, 3.25%	B	Interest	L	T					
54. Oley Valley Pa School District	B	Interest	L	T					
55. Fairfield Pa Area School, 2.65%	B	Interest	L	T					
56. Deer Lakes School District PA, 3.0%	C	Interest	L	T					
57. Mon Vly Pa Swr Auth 2.75%, '25	B	Interest	L	T					
58. Washington Cnty Pa Ser 3.25% '26	C	Interest	L	T					
59. Mifflin Cnty Pa Rfdg, 3.3%, 27	C	Interest	M	T					
60. T.D. Bank Cash Asscounts (X)	A	Interest	J	T					
61. Janney Insured Money Market Fund (X)	A	Interest	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Sloviter, Dolores K.

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01/14/2016

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

The bond holding "Allentown Pa Parking Authority 5%, '38" was reported twice in error on the 2013 report on lines 18 and 46. Therefore, it is listed once on line 19 of the 2014 report correctly.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Sloviter, Dolores K.

Date of Report

01/14/2016

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/ Dolores K. Sloviter**

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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Washington, D.C. 20544