

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) Rendell, Marjorie O.	2. Court or Organization USCA - 3CA - Philadelphia	3. Date of Report 05/13/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Court Judge (Active)	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 U.S. Court of Appeals 601 Market Street, Room 21613 Philadelphia, PA 19106-1598		
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.	Director	Kimmel Center for the Performing Arts
2.	Member, Board of Overseers	School of Nursing, University of Pennsylvania
3.	Instructor	"Justice and Society" - Aspen Institute
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.		
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. 08/14/2012	Aspen Institute	\$2,000.00
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. New York Intellectual Property Law Assoc.	03/23/2012 - 04/12/2012	New York, NY	Attend Conference and Dinner	Train, Hotel, Taxis, Food
2. Aspen Institute	07/12/2012 - 07/20/2012	Aspen, Colorado	Teach week-long course	Airfare, Lodging, Food
3. Drug & Device Litigation Conference	12/04/2012 - 12/05/2012	New York, NY	On Panel	Train, Hotel, Taxis
4. Allegheny County Bar Association	12/06/2012	Pittsburgh, PA	On panel	Airfare, Hotel, Taxis
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.	Cape Savings Bank, Cape May, NJ	Mortgage on rental property	N
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. QUALIFIED									
2. Adams Harkness Small Cap		None	K	T	Sold (part)	02/01/12	K		
3. Baron Growth	A	Dividend	K	T	Buy (add'l)	10/24/12	J		
4. BlackRock Low Duration Bond	C	Dividend	M	T					
5. DFA Emerging Mkts Core Equity	A	Dividend	K	T					
6. DFA Intl Small Cap Value	B	Dividend	K	T	Buy	02/01/12	K		
7. DFA Intl Value	B	Dividend	L	T	Buy (add'l)	02/01/12	K		
8. DFA One Year Fixed	A	Dividend	M	T					
9. DFA Global Real Estate Securities	B	Dividend	K	T					
10. DFA US Large Cap Value	B	Dividend	L	T	Sold (part)	10/24/12	J		
11. DFA U.S. Micro Cap	B	Dividend	K	T					
12. DFA U.S. Small Cap Value	C	Dividend	K	T					
13. Dodge & Cox Stock	A	Dividend	K	T					
14. E.I.I. Global Property Inst.	A	Dividend	K	T	Buy	12/19/12	K		
15. Federated Gov. Ultrashort Duration	A	Dividend	M	T					
16. First Eagle Global		None			Sold	02/01/12	L	F	
17. First Eagle Overseas	B	Dividend	K	T	Buy (add'l)	02/01/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)

18. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T	Sold (part)	02/01/12	J		
19. Hotchkis & Wiley Mid Cap Value	A	Dividend	L	T	Sold (part)	02/01/12	J	A	
20.					Sold (part)	10/24/12	J	C	
21. Ivy Mid Cap Growth	A	Dividend	K	T					
22. Janus Fund	A	Dividend	K	T	Sold (part)	02/01/12	K	D	
23. Janus Overseas Fund	B	Dividend	K	T					
24. Maingate MLP FD CL I	B	Dividend	L	T	Buy	02/01/12	L		
25. Metropolitan West Total Return	D	Dividend	M	T	Buy (add'l)	10/24/12	J		
26. Morgan Stanley Inst Emerging Markets	A	Dividend	K	T	Buy (add'l)	02/01/12	J		
27. Morgan Stanley Inst International Equity	A	Dividend	K	T	Sold (part)	02/01/12	K		
28. Royce Opportunity	B	Dividend	K	T	Buy (add'l)	08/01/12	K		
29. Royce Value Plus		None			Sold	08/01/12	K		
30. RS Global Natural Resources FD	A	Dividend	K	T	Buy	02/01/12	K		
31. Schwab Adv Cash Reserve Prem		None	J	T					
32. Third Avenue Intl Value	A	Dividend	K	T	Sold (part)	02/01/12	K		
33. Thornburg Intl Value	A	Dividend	K	T	Buy (add'l)	02/01/12	J		
34. Turner Growth Fund	A	Dividend	K	T	Buy	02/01/12	K		

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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35. Westcore Int'l (Frontier) Small Cap	A	Dividend	K	T	Sold (part)	02/01/12	J	B	
36. Westcore Mid Cap Value	A	Dividend	K	T	Sold (part)	02/01/12	K	D	
37. Westcore Midco Growth	A	Dividend	K	T	Sold (part)	02/01/12	J	A	
38. William Blair International Growth	A	Dividend	K	T					
39. William Blair Lg Cap Growth		None	K	T	Sold (part)	02/01/12	K	D	
40.					Sold (part)	10/24/12	J	C	
41. William Blair Intl Small Cap Growth	A	Dividend	K	T	Buy (add'l)	02/01/12	J		
42. William Blair Mid Cap Growth	A	Dividend	K	T	Sold (part)	02/01/12	J		
43. William Blair Small Cap Growth	A	Dividend	K	T	Buy	02/01/12	J		
44. William Blair Growth	A	Dividend			Sold	02/01/12	J	D	
45. PERSONAL									
46. Baron Growth Fund	B	Dividend	K	T	Buy (add'l)	10/24/12	J		
47. DFA Emerging Markets Core Equity	A	Dividend	K	T	Buy (add'l)	06/07/12	J		
48.					Buy (add'l)	10/24/12	J		
49. DFA Global Real Estate Securities	B	Dividend	K	T	Buy	02/01/12	J		
50.					Buy (add'l)	10/24/12	J		
51. DFA Short Term Muni Bond	A	Dividend	L	T	Buy (add'l)	04/24/12	J		

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52.					Buy (add'l)	06/07/12	J		
53.					Buy (add'l)	10/24/12	J		
54. DFA Tax Managed Int'l Value	B	Dividend	K	T	Buy (add'l)	02/01/12	J		
55.					Buy (add'l)	06/07/12	J		
56.					Buy (add'l)	10/24/12	J		
57. DFA Tax Managed US Marketwide Value	A	Dividend	K	T	Buy (add'l)	02/01/12	J		
58.					Buy (add'l)	06/07/12	J		
59.					Buy (add'l)	10/24/12	J		
60. DFA Tax Managed US Targeted Value	A	Dividend	K	T	Buy (add'l)	4/24/12	J		
61.					Buy (add'l)	10/24/12	J		
62. DFA US Micro Cap	A	Dividend	J	T	Buy (add'l)	10/24/12	J		
63. Dodge & Cox Stock	A	Dividend	J	T	Buy (add'l)	06/07/12	J		
64. E.I.I Global Property Inst	A	Dividend	K	T	Buy	02/01/12	J		
65.					Buy (add'l)	06/07/12	J		
66. Federated Short Interm Muni	A	Dividend	L	T	Buy (add'l)	04/24/12	J		
67.					Buy (add'l)	06/07/12	J		
68.					Buy (add'l)	10/24/12	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$250,001 - \$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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69. First Eagle Overseas	B	Dividend	K	T	Buy (add'l)	04/24/12	J		
70.					Buy (add'l)	10/24/12	J		
71. General Electric Company	A	Dividend			Donated (part)				
72.					Donated				
73. GlaxoSmithKline PLC	B	Dividend	K	T	Donated (part)				
74.					Donated (part)				
75. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T					
76. Hotchkis & Wiley Mid Cap Value	A	Dividend	K	T	Buy (add'l)	10/24/12	J		
77. Janus Fund	A	Dividend	K	T	Sold (part)	02/01/12	J	A	
78.					Buy (add'l)	06/07/12	J		
79.					Buy (add'l)	10/24/12	J		
80. Janus Overseas Fund	B	Dividend	K	T	Buy (add'l)	04/24/12	J		
81.					Buy (add'l)	06/07/12	J		
82.					Buy (add'l)	10/24/12	J		
83. Maingate MLP FD	B	Dividend	K	T	Buy	02/01/12	K		
84.					Buy (add'l)	06/07/12	J		
85.					Buy (add'l)	10/24/12	J		

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	
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86. Metropolitan West Total Return Bond	C	Dividend	L	T	Buy (add'l)	06/07/12	K		
87.					Buy (add'l)	10/24/12	J		
88. Morgan Stanley Inst Int'l Equity	A	Dividend	K	T	Sold (part)	02/01/12	J	A	
89.					Buy (add'l)	06/07/12	J		
90. Royce Opportunity Investment	B	Dividend	K	T	Buy (add'l)	06/07/12	J		
91. RS Global Natural Resources Fund	A	Dividend	J	T	Buy	02/01/12	J		
92.					Buy (add'l)	06/07/12	J		
93.					Buy (add'l)	10/24/12	J		
94. Schwab Advisor Premium Cash Reserve	A	Dividend	K	T					
95. Sound Shore	A	Dividend			Sold	02/01/12	J	A	
96. Third Avenue Int'l Value Fund	A	Dividend	K	T	Buy (add'l)	06/07/12	J		
97.					Buy (add'l)	10/24/12	J		
98. Thornburg International Value	A	Dividend	K	T	Buy (add'l)	02/01/12	J		
99.					Buy (add'l)	06/07/12	J		
100.					Buy (add'l)	10/24/12	J		
101. Thornburg Limited Term Muni	B	Dividend	L	T	Buy (add'l)	02/01/12	K		
102.					Buy (add'l)	04/24/12	J		

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103.					Buy (add'l)	06/07/12	J		
104.					Buy (add'l)	10/24/12	J		
105. Turner Large Cap Growth	A	Dividend	K	T	Buy (add'l)	10/24/12	J		
106. Wal-Mart Stores, Inc.	A	Dividend	J	T					
107. Westcore Int'l Small Cap	A	Dividend	K	T	Buy (add'l)	04/24/12	J		
108.					Buy (add'l)	06/07/12	J		
109.					Buy (add'l)	10/24/12	J		
110. Westcore Mid-Cap Value	A	Dividend	K	T	Buy (add'l)	06/07/12	J		
111.					Buy (add'l)	10/24/12	J		
112. Westcore Midco Growth	A	Dividend	K	T	Sold (part)	02/01/12	J	A	
113.					Buy (add'l)	06/07/12	J		
114.					Buy (add'l)	10/24/12	J		
115. William Blair Mid Cap Growth	A	Dividend	K	T	Sold (part)	02/01/12	J	B	
116.					Buy (add'l)	06/07/12	J		
117. William Blair Small Cap Growth	A	Dividend	K	T	Buy (add'l)	04/24/12	J		
118.					Buy (add'l)	10/24/12	J		
119. William Blair Large Cap Growth		None	K	T	Buy (add'l)	06/07/12	J		

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 ~\$250,001 - \$500,000	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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Name of Person Reporting

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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)
120. 									
121. Schwab Advisor Premium Cash Reserve	A	Dividend	J	T					
122. Rental property in Ocean City, NJ	A	Rent	P1	W					
123. 									

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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Name of Person Reporting

Rendell, Marjorie O.

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

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Name of Person Reporting

Rendell, Marjorie O.

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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/ **Marjorie O. Rendell**

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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