

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 12/06/2012
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 01/01/2011 to 12/31/2011
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. Insert signature on last page.		

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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. ABA Subcommittee on Civic Education	03/30/2011 - 03/31/2011	Washington, D.C.	Attend meeting	Train, Hotel & Taxis
2. American Bar Association	05-19-2011 - 05/22/2011	Chicago, IL	On panel - Appellate Practice Institute	Train, Hotel Food & Taxis
3. Practicing Law Institute	06/03/2011 - 06/04/2011	New York, NY	Teaching CLE	Train, Hotel, Taxis & Food
4. National Conference Bankruptcy Jgs.	10/13/2011 - 10/15/2011	Tampa, FL	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, [REDACTED]	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					
3. Baron Growth	A	Dividend	K	T					
4. BlackRock Low Duration Bond	C	Dividend	M	T	Buy (add'l)	01/31/11	K		
5. Brandywine		None			Sold	01/31/11	K	B	
6. DFA Emerging Mkts Core Equity	A	Dividend	K	T					
7. DFA Intl Value	B	Dividend	K	T					
8. DFA One Year Fixed	A	Dividend	M	T	Sold (part)	01/31/11	L	A	
9. DFA Global Real Estate Securities		None	K	T	Buy	01/31/11	K		
10. DFA US Large Cap Value	A	Dividend	L	T					
11. DFA U.S. Micro Cap	A	Dividend	K	T					
12. DFA U.S. Small Cap Value	A	Dividend	K	T					
13. Dodge & Cox Stock	A	Dividend	K	T					
14. Federated Gov. Ultrashort Duration	A	Dividend	M	T	Buy (add'l)	01/31/11	L		
15. First Eagle Overseas	A	Dividend	K	T					
16. Hotchkiss & Wiley Large Cap Value	A	Dividend	K	T					
17. Hotchkiss & Wiley Mid Cap Value	A	Dividend	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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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				
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18. Ivy Mid Cap Growth		None	K	T	Buy	01/31/11	K		
19. Janus Fund	A	Dividend	L	T	Sold (part)	01/31/11	J	C	
20. Janus Overseas Fund	C	Dividend	K	T	Sold (part)	01/31/11	J	B	
21. Metropolitan West Total Return	D	Dividend	M	T	Buy (add'l)	01/31/11	J		
22. Morgan Stanley Inst Emerging Markets		None	K	T					
23. Morgan Stanley Inst International Equity	B	Dividend	L	T	Sold (part)	01/31/11	J		
24. Royce Opportunity		None	K	T	Sold (part)	01/31/11	J		
25. Royce Value Plus	A	Dividend	K	T					
26. Schwab Adv Cash Reserve Prem	A	Dividend	J	T					
27. Third Avenue Intl Value	A	Dividend	K	T					
28. Thornburg Intl Value	A	Dividend	K	T					
29. Westcore Int'l (Frontier) Small Cap	A	Dividend	K	T	Sold (part)	01/31/11	J	B	
30. Westcore Mid Cap Value	A	Dividend	L	T	Sold (part)	01/31/11	J	B	
31. Westcore Midco Growth	B	Dividend	K	T	Sold (part)	01/31/11	K	A	
32. William Blair International Growth	A	Dividend	K	T					
33. William Blair Lg Cap Growth	A	Dividend	L	T					
34. William Blair Intl Small Cap Growth	A	Dividend	J	T					

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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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	(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. William Blair Mid Cap Growth	B	Dividend	K	T	Buy	01/31/11	K		
36. First Eagle Global	B	Dividend	K	T					
37. Janus Perkins Mid Cap Value		None			Sold	01/31/11	J	A	
38. William Blair Growth	A	Dividend	J	T					
39. [REDACTED]									
40. Baron Growth Fund	A	Dividend	J	T					
41. DFA Emerging Markets Core Equity	A	Dividend	K	T					
42. DFA Short Term Muni Bond	A	Dividend	K	T	Sold (part)	06/24/11	K	A	
43. DFA Tax Managed Int'l Value	A	Dividend	J	T					
44. DFA Tax Managed US Marketwide Value	A	Dividend	J	T					
45. DFA Tax Managed US Targeted Value	A	Dividend	J	T					
46. DFA US Micro Cap	A	Dividend	J	T					
47. Dodge & Cox Stock	A	Dividend	J	T					
48. Fannie Mae		None			Sold	11/28/11	J	A	
49. Federated Short Interm Muni	B	Dividend	K	T					
50. First Eagle Overseas	A	Dividend	J	T					
51. General Electric Company	B	Dividend	J	T	Donated (part)				

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52.					Donated (part)				
53.					Donated (part)				
54. GlaxoSmithKline PLC	B	Dividend	K	T					
55. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T					
56. Hotchkis & Wiley Mid Cap Value	A	Dividend	K	T					
57. Janus Fund	A	Dividend	K	T					
58. Janus Overseas Fund	B	Dividend	J	T					
59. Metropolitan West Total Return Bond	C	Dividend	K	T					
60. Morgan Stanley Inst Int'l Equity	A	Dividend	J	T					
61. Royce Opportunity Investment		None	J	T					
62. Schwab Advisor Premium Cash Reserve	A	Dividend	L	T					
63. Sound Shore	A	Dividend	J	T					
64. Third Avenue Int'l Value Fund	A	Dividend	K	T					
65. Thornburg International Value	A	Dividend	J	T					
66. Thornburg Limited Term Muni	A	Dividend	K	T					
67. Turner Large Cap Growth		None	J	T					
68. Wal-Mart Stores, Inc.	A	Dividend	J	T	Donated (part)				

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69. Westcore Int'l Small Cap	A	Dividend	J	T					
70. Westcore Mid-Cap Value	A	Dividend	J	T					
71. Westcore Midco Growth	B	Dividend	K	T					
72. William Blair Mid Cap Growth	B	Dividend	K	T					
73. William Blair Small Cap Growth		None	J	T					
74. William Blair Large Cap Growth	A	Dividend	J	T					
75. 									
76. Beckman Coulter, Inc.	A	Dividend			Donated (part)				
77. 					Sold	09/01/11	K	D	
78. Coca Cola	A	Dividend			Donated				
79. Federated Short-Interim Dur Muni	B	Dividend			Sold	06/24/11	J	A	
80. Janus Perkins Mid cap Value		None			Sold	01/31/11	K	A	
81. McDonald's Corp	A	Dividend			Donated (part)				
82. 					Donated (part)				
83. 					Donated				
84. Schwab Advisor Premium Cash Reserve	A	Dividend	J	T					
85. 									

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86.									
87. Baron Growth (Y)									
88. DFA Emergina Markets Core Equity (Y)									
89. DFA Int'l Value (Y)									
90. DFA One Year Fixed (Y)									
91. Federated Gov Ultrashort Duration (Y)									
92. Hotchkis & Wiley Large Cap Value (Y)									
93. Janus Overseas (Y)									
94. Metropolitan West Total Return (Y)									
95. Morgan Stanley Int'l Equity (Y)									
96. Royce Opportunity Fund (Y)									
97. Royce Value Plus (Y)									
98. Schwab Adv Cash Reserve Prem & Cash (Y)									
99. Third Avenue Int'l Value (Y)									
100. Turner Core Growth (Y)									
101. Turner Small Cap Equity (Y)									
102. Westcore Mid Cap Opportunity (Y)									

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103. Westcore Midco Growth (Y)									
104. Adams Harkness Small Cap Growth (Y)									
105. Brandywine Fund (Y)									
106. Dodge & Cox Stock (Y)									
107. Morgan Stanley Int'l Equity (Y)									
108. Rental property in Ocean City, NJ	E	Rent	P1	W					
109.									

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

AMENDED: Part VII, Line 38 - William Blair Growth was accidentally omitted from 2011 Federal Disclosure Report. It appeared on the 2010 Federal Disclosure Report in Section VII, Line 42. It has been included in the amended version.

AMENDED: Part VII, Line 80 - Janus Perkins Mid Cap Value was not completely sold in 2010; it should have been indicated in the 2010 Federal Disclosure Report Section VII, Line 92 as Sold (Part) - Value Code (J).

Part IIIB - Spouse's Non-Investment Income, Lines 1-4: We will not be reporting these items as shown in 2010.

Part VII - Investments and Trusts, Lines 02-37: Judge Rendell combined her two IRA's during 2011. These assets are representative of all assets shown in her two IRA accounts from 2010.

Part VII - Investments and Trusts, Lines 39-73: These assets were part of Judge Rendell's [REDACTED] account in 2010. During Calendar Year 2011, this account was split, with these holdings transferring to Judge Rendell.

Part VII - Investments and Trusts, Lines 75-83: These assets represent transactions in Judge Rendell's [REDACTED] account before assets were moved to her [REDACTED] account. The residual cash balance is represented in line #83.

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