

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 4/26/2017
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 01/01/2016 to 12/31/2016
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.	Member, Board of Overseers	School of Nursing, University of Pennsylvania
2.	Member, Board of Directors	Rendell Center for Civics & Civic Engagement
3.	President	Rendell Center for Civics & Civic Engagement
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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.

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.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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 (H)									
2. Leberthal Lisanti Small Cap Growth Fund	A	Dividend	K	T					
3. AIP Multi Strategy Fund	B	Dividend	M	T					
4. Baron Growth	C	Dividend	K	T					
5. BlackRock Low Duration Bond	B	Dividend	M	T					
6. DFA Emerging Mkts Core Equity	A	Dividend	K	T					
7. DFA Intl Small Cap Value	C	Dividend	L	T					
8. DFA Intl Value	C	Dividend	L	T					
9. DFA International Large Cap Growth	B	Dividend	K	T					
10. DFA One Year Fixed	A	Dividend	M	T					
11. DFA Global Real Estate Securities	B	Dividend	K	T					
12. DFA US Large Cap Value	C	Dividend	L	T					
13. DFA U.S. Micro Cap	B	Dividend	K	T					
14. DFA U.S. Small Cap Value	B	Dividend	L	T					
15. Dodge & Cox Stock	B	Dividend	K	T					
16. E.L.I. Global Property Inst.	D	Dividend	K	T					
17. Federated Gov. Ultrashort Duration	A	Dividend	M	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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 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. First Eagle Overseas	B	Dividend	K	T					
19. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T					
20. Hotchkis & Wiley Mid Cap Value	B	Dividend	L	T					
21. Ivy Mid Cap Growth	B	Dividend	K	T	Buy (add'l)	07/28/16	J		See Section VIII
22. Janus Fund	C	Dividend	L	T	Buy (add'l)	03/14/16	J		
23. Maingate MLP FD CL I	C	Dividend	L	T					
24. Mainstay Marketfield FD CL I		None			Sold	03/14/16	K		
25. Metropolitan West Total Return	C	Dividend	M	T	Sold (part)	01/25/16	J		
26. Morgan Stanley Inst Emerging Markets	A	Dividend	K	T					
27. Morgan Stanley Inst International Equity	A	Dividend	K	T					
28. Royce Opportunity	C	Dividend	K	T					See Section VIII
29. Victory Global Natural Resources CI Y		None	K	T					
30. Schwab Adv Cash Reserve Prem	A	Dividend	J	T					
31. Westcore Int'l (Frontier) Small Cap	A	Dividend	K	T					
32. Westcore Mid Cap Value Dividend	B	Dividend	L	T					
33. Westcore Midco Growth		None			Sold	07/28/16	K		
34. William Blair International Growth	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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)

35. William Blair Lg Cap Growth	A	Dividend	L	T	Buy (add'l)	03/14/16	J		
36. William Blair Intl Small Cap Growth	A	Dividend	K	T					
37. William Blair Mid Cap Growth	B	Dividend	K	T	Buy (add'l)	07/28/16	J		
38. William Blair Small Cap Growth	B	Dividend	K	T					
39. PERSONAL (H)									
40. Baron Growth Fund	C	Dividend	K	T	Buy (add'l)	02/23/16	J		
41. DFA Emerging Markets Core Equity	A	Dividend	L	T					
42. DFA Global Real Estate Securities	B	Dividend	K	T					
43. DFA Intl Large Cap Growth	B	Dividend	K	T	Buy (add'l)	02/23/16	J		
44. DFA Intl Small Cap Value	C	Dividend	K	T					
45. DFA Short Term Muni Bond	B	Dividend	M	T	Buy (add'l)	10/21/16	J		
46. DFA Tax Managed Int'l Value	B	Dividend	L	T	Buy (add'l)	02/23/16	K		
47. DFA Tax Managed US Marketwide Value	C	Dividend	L	T	Buy (add'l)	02/23/16	J		
48. DFA Tax Managed US Targeted Value	B	Dividend	L	T	Buy (add'l)	02/23/16	J		
49. DFA US Micro Cap	B	Dividend	K	T					
50. Dodge & Cox Stock	B	Dividend	K	T					
51. E.L.I Global Property Inst	D	Dividend	K	T	Buy	01/14/16	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	
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 7 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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)
52. Federated Short Interm Muni	B	Dividend	M	T	Buy (add'l)	10/21/16	J		
53. First Eagle Overseas	B	Dividend	K	T					
54. Hotchkis & Wiley Large Cap Value	A	Dividend	K	T	Buy (add'l)	02/23/16	J		
55. Hotchkis & Wiley Mid Cap Value	B	Dividend	L	T	Buy (add'l)	02/23/16	K		
56. Ivy Mid Cap Growth	B	Dividend	K	T	Buy (add'l)	07/28/16	J		
57.					Buy (add'l)	01/26/16	K		
58. Janus Fund	C	Dividend	L	T	Buy (add'l)	03/14/16	K		
59. Maingate MLP FD	B	Dividend	L	T	Buy	05/02/16	L		
60. Mainstay Marketfield FD I		None			Sold	03/14/16	K		
61. Metropolitan West Total Return Bond	D	Dividend	M	T	Buy (add'l)	07/29/16	J		
62.					Buy (add'l)	10/24/16	J		
63. Morgan Stanley Inst. Emerging Markets	A	Dividend	L	T	Buy (add'l)	02/23/16	J		
64. Morgan Stanley Inst Int'l Equity	A	Dividend	K	T	Buy (add'l)	02/24/16	J		
65. Royce Opportunity Investment	C	Dividend	L	T	Buy	01/25/16	K		
66.					Buy (add'l)	02/23/16	J		
67. Victory Global Natural Resources Fund		None	K	T	Buy	04/29/16	K		See Section VIII
68.					Buy (add'l)	10/21/16	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	
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 8 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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)
69. Schwab Advisor Premium Cash Reserve	A	Dividend	K	T					
70. T. Rowe Price New Era Fund		None			Sold	04/29/16	L	D	
71. Thornburg Limited Term Muni	C	Dividend	M	T	Buy (add'l)	10/21/16	J		
72. Westcore Int'l Small Cap	A	Dividend	K	T					
73. Westcore Mid-Cap Value Dividend	B	Dividend	L	T	Buy (add'l)	02/23/16	J		
74. Westcore Midco Growth		None			Buy (add'l)	02/23/16	J		
75.					Sold	07/28/16	M		
76. William Blair Int'l Growth Fund (I)	A	Dividend	K	T	Buy (add'l)	02/23/16	J		
77. William Blair Int'l Small Cap Growth (I)	A	Dividend	K	T					
78. William Blair Mid Cap Growth	B	Dividend	K	T	Buy (add'l)	07/29/16	J		
79. William Blair Small Cap Growth	C	Dividend	K	T	Buy (add'l)	02/23/16	J		
80. William Blair Large Cap Growth	A	Dividend	L	T	Buy (add'l)	03/15/16	J		
81. Rental Property in Boynton Beach, FL	E	Rent	M	W					
82. JOINT (H)									
83. Schwab Advisor Premium Cash Reserve		None	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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

Line 21: Line 21 and 22 of the 2015 Financial Disclosure Report incorrectly reported a Buy on 7/28/15 and a complete sale on 12/8/15.

Line 29: RS Global Natural Resources became Victory Global Natural Resources.

Line 67: RS Global Natural Resources became Victory Global Natural Resources.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Rendell, Marjorie O.

Date of Report

4/26/2017

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