

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) GARTH, LEONARD I.	2. Court or Organization THIRD CIRCUIT COURT OF APPEALS	3. Date of Report 04/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☒ Amended Report		
7. Chambers or Office Address U.S. Court of Appeals - Rm. 5040 MKL, Jr. Fed. Bldg. & U.S. Courthouse 50 Walnut Street Newark, NJ 07102		
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 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/30/2014

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. _____

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 8

Name of Person Reporting

GARTH, LEONARD I.

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04/30/2014

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/30/2014

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. General Electric Common	B	Dividend	L	T					
2. AT&T Inc. Common	B	Dividend	K	T					
3. Exxon Mobil Corp. Common	B	Dividend	L	T					
4. Israel Bonds	A	Interest	J	T					
5. Goldman Sachs CD	A	Interest			Redeemed	12/12/13	K		See Part VIII
6. Verizon Common	A	Dividend	J	T					
7. Ally Bank	C	Interest	M	T					
8. Dreyfus Growth & Income (IRA) (DWS)	A	Dividend	J	T					
9. AARP Growth & Income Fund (DWS Investments)	A	Dividend	J	T					
10. Dreyfus Growth & Income (IRA) (DWS)	A	Dividend	J	T					
11. NuveenReinvestment Acct (CT Mun)	C	Interest	L	T					
12. Phoenix Common	A	Dividend	J	T					
13. Comcast Common	A	Dividend	J	T					
14. Wells Fargo		None	K	T					
15. Morgan Stanley Bank CD	A	Interest			Redeemed	12/13/13	K		See Part VIII
16. Morgan Stanley Bank CD	A	Interest			Redeemed	12/12/13	K		See Part VIII
17. Guardian Life Insurance	A	Dividend	J	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 8

Name of Person Reporting

GARTH, LEONARD L.

Date of Report

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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				
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18. Crown Life Insurance (X)	A	Dividend	J	T					
19. Guilford Savings Bank	A	Interest	J	T					See Part VIII
20. RBC Investments	A	Int./Div.	J	T					
21. Vanguard Total Stock Market Tax Index Fund	A	Dividend	K	T	Buy	9/9/2013	J		
22. Vanguard Admiral Share Bonds	A	Dividend	L	T	Buy	9/9/2013	L		
23.									
24.									
25.									
26.									
27.									
28.									
29.									
30.									
31.									
32.									
33.									
34.									

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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

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35.									
36.									
37.									
38.									
39.									
40.									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

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04/30/2014

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

Part VI LIABILITIES:

Guardian Life Insurance Co. - I have previously reported a loan against the cash value from the Guardian Life Insurance Co. On April 20, 2013, that loan was paid off in full.

Part VII INVESTMENTS and TRUSTS

#5 Goldman Sachs CD matured in December 2013 and I received a check which was deposited in the Guilford Savings Bank (#19) and used to pay off the Guardian Life Insurance Co. loan.

#15 Morgan Stanley Bank CD matured and the check was deposited in the Guilford Savings Bank #19.

#16 Morgan Stanley Bank CD matured and the check was deposited in the Guilford Savings Bank #19.

#19 Guilford Savings Bank no longer paid interest. The proceeds from the CD's that were redeemed (Morgan Stanley (#15) and Morgan Stanley (#16)) were deposited in Guilford Savings Bank and then used to purchase Vanguard Stock and Vanguard Admiral Shares, #21 and #22.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

GARTH, LEONARD I.

Date of Report

04/30/2014

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/ LEONARD I. GARTH**

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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