

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) Cowen, Robert E.	2. Court or Organization U.S. Court of Appeals 3rd Cir.	3. Date of Report 05/01/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Circuit Judge	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 402 E. State Street Room 207 Trenton, NJ 08608		
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.	

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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.)*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. 2012

State of New Jersey

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.	New York Intellectual Property Law Assn.	March 23 - 24, 2012	New York, NY	Dinner	Dinner in Honor of the Federal Judiciary Meals, Hotel, Travel Expenses
----	--	---------------------	--------------	--------	--

2. _____

3. _____

4. _____

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
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. Artio Intl. Equity FD (Mutual Fund)	A	Dividend	K	T					
2. Bristol Meyers Squibb (Common Stock)	A	Dividend	J	T					
3. Chevron Texaco Corp. (Common Stock)	B	Dividend	K	T					
4. Cardinal Health Care (Common Stock)	A	Dividend	J	T					
5. Chubb Corp. (Common Stock)	A	Dividend	J	T					
6. Cisco Systems (Common Stock)	A	Dividend	K	T					
7. Colgate Palmolive (Common Stock)	A	Dividend	J	T					
8. Conoco Phillips (Common Stock)	A	Dividend	J	T					
9. Deere & Co. (Common Stock)	A	Dividend	K	T					
10. Ell Intl. Property (Mutual Fund)	A	Dividend	J	T					
11. EMC Corp. (Common Stock)		None	J	T					
12. Emerson Electric (Common Stock)	A	Dividend	J	T					
13. ExxonMobil (Common Stock)	A	Dividend	K	T					
14. Exxon Mobil (Common Stock)	A	Dividend			Sold (part)	5/24/12	J	D	
15. FedEx Corp. (Common Stock)	A	Dividend	J	T					
16. Goldman Sachs Gr. Op. Fd. (Mutual Fund)		None	K	T					
17. General Electric (Common Stock)	A	Dividend	K	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		

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18. General Mills	A	Dividend	J	T					
19. Home Depot (Common Stock)	A	Dividend	J	T					
20. ING Real Estate FD	A	Dividend	K	T					
21. Intel Corp. (Common Stock)	A	Dividend	J	T					
22. Intl. Flavors & Fragrances (Common Stock)	A	Dividend	J	T					
23. Lord Abbett Value Opp. FD		None	J	T	Buy	5/24/12	J		
24. Johnson & Johnson (Common Stock)	A	Dividend	K	T					
25. JP Morgan Chase (Common Stock)	A	Dividend	K	T					
26. Kellogg (Common Stock)	A	Dividend	J	T					
27. McDonalds Corp. (Common Stock)	A	Dividend	K	T					
28. McKesson Corp. (Common Stock)	A	Dividend	J	T					
29. Microsoft Corp. (Common Stock)	A	Dividend	K	T					
30. Aberdeen Emerging 30 Mkts FD	A	Dividend	J	T	Buy	5/7/12	J		
31. Oakmark Intl. FD (Mutual Fund)	A	Dividend	K	T					
32. Pimco Commodity Real FD	B	Dividend	J	T					
33. Phillips 66 PSX (Common Stock)	A	Dividend	J	T	Spinoff (from line 8)	5/1/12	J		
34. PNC Financial Serv. Group	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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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35. Public Service Enterprise Group Inc. (Common Stock)	A	Dividend	J	T					
36. Oppenheimer Developing Mrkts FD		None	J	T	Buy	4/30/12	J		
37. Ridgeworth FD-Midcap	A	Dividend	K	T					
38. Royce Value FD		None	K	T					
39. Merger FD SH BEN INT	A	Dividend	J	T					
40. Target Corp. (Common Stock)	A	Dividend	J	T					
41. Apple (Common Stock)	A	Dividend	J	T	Buy	9/7/12	J		
42. United Technologies (Common Stock)	A	Dividend	J	T					
43. Abbot Labs (Common Stock)	A	Dividend	J	T	Buy	9/7/12	J		
44. Viacom Inc. (Common Stock)	A	Dividend	J	T					
45. Coca Cola (Common Stock)	A	Dividend	J	T	Buy	9/7/12	J		
46. Wells Fargo Adv. Emerging FD	A	Dividend	K	T					
47. Wells Fargo Adv. Asset All. FD	A	Dividend	J	T					
48. Trust #1	D	Int./Div.	N	T					
49. Eaton-Vance Global Macro	A	Dividend	J	T					
50. Eaton-Vance Tax Free (Municipal Fund)	A	Interest	J	T					
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52. Merrill-Lynch Capital Trust (Preferred Stock)	A	Interest	J	T					
53. N.J. Healthcare Fac. 7-01-19	A	Interest	J	T					
54. N.J. Educational Fac. 7-01-34	A	Interest	K	T					
55. N.J. Healthcare Kennedy Health Center 7-01-31	A	Interest			Redeemed	8/31/12	J		
56. Middlesex Cty NJ CTFS 6-15-23	A	Interest			Redeemed	1/10/12	J		
57. N.J. Healthcare Fac. St. Barnabas 7-01-28	A	Interest			Redeemed	12/17/12	J	A	
58. Port Auth. NY & NJ 7-15-26	A	Interest	J	T					
59. N.J. State Higher Ed. 6-01-30	A	Interest	J	T					
60. Indiana State Housing 7-01-26	A	Interest			Redeemed	1/01/12	J		
61. Ft. Lee NJ Impt. G/O 2-15-15	A	Interest			Redeemed	12/15/12	K	A	
62. Antelope Valley	A	Interest	J	T					
63. Antelope Valley	A	Interest	J	T					
64. Clark City, NE School Dist.	A	Interest	J	T	Buy	2/28/12	J		
65. Cumberland Cty Gen. Impt G/O	A	Interest	J	T					
66. Oregon St. Dept. Admin.	A	Interest	K	T					
67. Lee Cty FL	A	Interest	J	T					
68. Passaic Cty N.J. College 11-01-19	A	Interest	J	T					

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69. Rogers, AK School District	A	Interest	J	T					
70. Mass. Hsg Fin Agy	A	Interest	J	T					
71. Cleveland, OH Airport	A	Interest	K	T					
72. Essex Cty Impt Auth	A	Interest	J	T					
73. King Cnty Washington Sewer Rev	A	Interest	J	T					
74. Hawaii St. Hsg. Fin. & Dev.	A	Interest	J	T					
75. Black Rock Muni Holdings NJ	A	Interest	J	T	Buy	7/10/12	J		
76. Oppenheimer Ltd Term CL B	A	Interest	J	T	Buy	02/17/12	J		
77. Oppenheimer Ltd Term CL B	A	Interest	J	T	Buy	03/15/12	J		
78. Oppenheimer NJ Muni Fd. CL A	B	Interest	K	T					
79. Oppenheimer NJ FD CL A	A	Interest	J	T	Buy	2/16/12	J		
80. Wells Fargo Municipal Bond Fund CL B	A	Interest	J	T					
81. Wells Fargo Municipal Bond CL A	A	Interest	J	T	Buy	2/28/12	J		
82. Wells Fargo Municipal Bond Fund CL A	A	Interest	J	T					
83. Wells Fargo Muni Bond CL C	A	Interest	J	T	Buy	2/28/12	J		
84. America Funds Tax Exempt Bond Fd. CL C	A	Interest	K	T					
85. America Funds Tax Exempt Bond Fd. CLC C	A	Interest	J	T	Buy	2/28/12	J		

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86. Certificate of Deposit - Wells Fargo	A	Interest	J	T					
87. Certificate of Deposit- Hudson City Savings Bank	A	Interest	J	T					
88. Certificate of Deposit - Hudson City Savings Bank	A	Interest	J	T					
89. Certificate of Deposit - Hudson City Savings Bank	A	Interest	J	T	Buy	11/29/12	J		
90. Treasury Notes - Various Maturities	D	Interest	M	T					
91. IRA #1	B	Int./Div.	K	T					
92. AIM Global Real Estate FD - N/K/A Investco Global Real Estat	A	Dividend	J	T					
93. Blair Williams FDs International Growth	A	Dividend	J	T					
94. - Delaware Group Adv. FDs	A	Dividend	J	T					
95. - Delaware Group Equity FDs	A	Dividend	J	T	Buy	8/28/12	J		
96. Morgan Stanley Instl. FD	A	Dividend	J	T					
97. - DWS Dreman Small Cap FD	A	Dividend	J	T					
98. - Dreyfus Appreciation FD	A	Dividend	J	T					
99. First Eagle Sogen Overseas FD	A	Dividend	J	T	Buy	8/28/12	J		
100. - Harbor International	A	Int./Div.	J	T					
101. Eagle Small Gap Growth FD	A	Dividend	J	T	Buy	8/28/12	J		
102. - Hotchkiss & Wiley Mid-Cap Val. I	A	Dividend	J	T					

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103. - John Hancock Classic Value FD	A	Dividend	J	T					
104. - Pimco Comm. Real Ret. Inst.	A	Dividend	J	T					
105. - Legg Mason Value Trust Mutual Fund		Dividend			Sold	1/23/12	J		
106. - Oppenheimer Dev. Mkts	A	Dividend	J	T					
107. - RS Investment FDS - Emerging Market CL Y	A	Dividend	J	T					
108. - Security Equity FD	A	Dividend	J	T					
109. - Sentinel Mut. FD Small Cap		Dividend			Sold	8/28/12	J		
110. - Wells Fargo FDS TR Mutual Fund		Dividend	J	T					
111. - Touchstone Large Cap FD	A	Dividend	J	T					
112. - Cambiar Opportunity FD	A	Dividend	J	T					
113. Goldman Sacks		None	J	T					
114. - Artio Intl.	A	Dividend	J	T					
115. Managers ANG FD Times Square Mid Cap		Dividend	J	T	Buy	10/18/12	J		
116. Keeley FDs Small Cap		Dividend	J	T	Buy	10/18/12	J		

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

1. Item 48, by letter dated September 29, 1989, Chairman Pratt, after receiving Judicial Ethics Committee authority advised me that in Section VII I need only disclose aggregate income and value information for the above-referenced trust.
2. Item 78 combines Items 71 and 72 in last year's report since they are the same investment purchased at different times.
3. Item 84 combines items 75 and 76 in last year's report since they are the same investment purchased at different times.
4. Items 115 and 116, Column B(1): when there has been no income from an investment, in the past Column B(1) has been left blank even though "Dividend" was entered because that was what the type would be if there was one.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cowen, Robert E.

Date of Report

05/01/2013

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/ **Robert E. Cowen**

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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