AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Roth, Jane R.	Third Circuit Court of Appeals	8/30/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Circuit Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
18316 U.S. Courthouse 601 Market Street Philadelphia, PA 19106		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Vice President	Friends of the Palisades Library
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.	M & T Bank	Loan	K
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Roth, Jane R.	8/30/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
1. M & T Bank Checking Acct	A	Interest	J	T					
2. Wells Fargo Bank Checking	C	Interest	J	T					
3. Wells Fargo Bank Savings	C	Interest	J	T					
4. TRUST WITH WILM. TRUST (H)									
5. Exxon Common Stock	A	Dividend	J	T					
6. Johnson & Johnson Common	B	Dividend	K	T					
7. Minnesota M&M Common (MMM)	B	Dividend	L	T					
8. Air Prod & Chem Common	B	Dividend	L	T					
9. -Ishares - Utilities	B	Dividend	K	T					
10. -Ishares - MSCI EAFE	D	Dividend	M	T					
11. -Ishares - Russell 2000	A	Dividend	L	T					
12. -Ishares - S&P 500 Growth	B	Dividend	O	T					
13. -Ishares - S&P 500 Value	D	Dividend	N	T					
14. -Ishares - Small Cap 600	A	Dividend	L	T					
15. Vanguard MSCI EAFE	B	Dividend	M	T					
16. Vanguard MSCI Emerging Markets	D	Dividend	M	T					
17. Fed. Muni. Ultrashort	A	Dividend	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Roth, Jane R.	8/30/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
18. Wilm. Prime Money Market	A	Interest	L	T					
19. Wilm Large-CapFund	D	Dividend	O	T	Sold (part)	01/06/21	K	E	
20.					Sold (part)	02/26/21	K	E	
21.					Buy (add'l)	12/13/21	K		
22.					Sold (part)	12/29/21	K	E	
23. Wilm Trust IRA (H)									
24. AB Concentrated Gr Fd CL Adv	A	Dividend	K	T	Buy	10/13/21	K		
25. AMG River Rd Sm-Cap Value FD CL I		None	K	T	Buy	07/20/21	J		
26.					Buy (add'l)	10/13/21	J		
27.					Buy (add'l)	12/20/21	J		
28. Angel Oak Ultrashrt Bnd-Insr	A	Dividend	K	T	Buy	04/01/21	K		
29. AQR Managed Futures	C	Dividend			Sold (part)	02/26/21	K	A	
30.					Sold	10/13/21	L	A	
31. AQR Style Premia ALT-1	A	Dividend			Buy	01/07/20	K		
32.					Sold	03/20/20	K	A	
33. Artisan Small Cap Fund CL Inst		None	K	T	Buy	07/20/21	K		
34.					Buy (add'l)	10/13/21	J		

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2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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35. Baillie Gifford Emerg Mkts CL K	A	Dividend	K	T	Buy	07/20/21	K		
36.					Buy (add'l)	10/13/21	J		
37. Blackrocck Event Driven Eq Fd CL I	A	Dividend	J	T	Buy	02/01/21			
38. Columbia Overseas Value-13	A	Dividend	K	T	Buy	02/01/21			
39. Crossingbridge LW Dur H/Y-INS	A	Dividend	K	T	Buy	08/31/21	K		
40. Eaton Vance Gov't Income Fd CL 1	A	Dividend	K	T	Buy	02/05/21	K		
41. GMO Opprtunistic Income-1	A	Dividend	K	T	Buy	02/05/21	K		
42. Harbor Llg-Cap Value Fd CL Ret	A	Dividend	K	T	Buy	10/13/21	K		
43. Ishares Core MSCI Emerging	A	Dividend	K	T					
44. Ishares Core MSCI EAFE ETF	A	Dividend	K	T	Buy	02/01/21	K		
45.					Buy (add'l)	07/21/21	J		
46. Ishares MSCI EAFE Value ETF	A	Dividend			Sold (part)	07/23/21	K	D	
47.					Sold (part)	07/30/21	K	D	
48. Ishares MSCI USA Quality Factor ETF	A	Dividend	K	T	Buy	07/21/21	K		
49. Ishares MSCI USA Value Factor	A	Dividend	K	T	Buy	07/21/21	K		
50. Ishares S&P Small-Cap 600 Value ETF	A	Dividend	K	T	Buy	12/21/21	K		
51. T Rowe Price Lg-Cap GR FD CL 1	A	Dividend	K	T	Buy	02/26/21	K		

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52.					Buy (add'l)	12/20/21	J		
53. WCM Focused Intl Growth Fund		None	L	T	Sold (part)	02/01/21	K	E	
54.					Sold (part)	11/02/21	K	E	
55. Vanguard Short Term Inv Grd	C	Dividend			Sold	08/31/21	K	A	
56. Riverpark S/T	B	Dividend	L	T					
57. BBH Limited Duration Fund	B	Dividend	L	T					
58. Guggenheim Duration	B	Dividend	M	T					
59. Vanguard Short Term Treasury	A	Dividend			Sold	02/05/21	K	A	
60. SPDR Gold Shares		None	K	T					
61. Wilmington International Fund-I	A	Dividend	K	T	Buy	12/20/21	K		
62. Wilmington U.S. Govt Fund W Class	A	Dividend	M	T					
63. WTC Roth IRA (H)0									
64. AB Concentrated Gr Fd CL Adv	A	Dividend	K	T	Buy	03/29/21	K		
65. Columbia Overseas Value-13	A	Dividend	K	T	Buy	01/21/21	K		
66. Ishares Core Msci Emerging	B	Dividend	J	T	Sold (part)	01/22/21	J	C	
67.					Sold (part)	03/30/21	J	A	
68. Ishares Global REIT	A	Dividend			Sold	01/22/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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69. Ishare MSCI USA Quality Factor ETF	A	Dividend	K	T	Buy (add'l)	03/03/21	J		
70.					Sold (part)	03/30/21	J	C	
71. Ishares MSCI USA Value Factor	A	Dividend	K	T	Buy	03/30/21	J		
72.					Buy (add'l)	06/07/21	J		
73. Ishares Msci USA Min Vol Factor ETF	A	Dividend			Buy (add'l)	03/03/21	J		
74.					Sold	03/30/21	K	B	
75. Ishares MSCI EAFE Value ETF	A	Dividend	J	T	Buy	03/30/21	J		
76. T Rowe Price Lrg Cap Growth	A	Dividend	K	T	Sold (part)	03/02/21	J	A	
77.					Sold (part)	03/29/21	J	C	
78.					Sold (part)	06/04/21	J	C	
79. AMG River Rd Small Cap			K	T	Sold (part)	03/02/21	J	A	
80. Artisan Small Cap			K	T	Sold (part)	02/04/21	J	B	
81.					Buy (add'l)	03/02/21	J		
82. Ishares S&P Small-Cap Growth	A	Dividend			Sold	03/30/21	J	C	
83. Ishares S&P Small Cap Value	A	Dividend	J	T	Sold (part)	03/03/21	J	A	
84.					Buy (add'l)	03/30/21	J		
85. Harbor Large Cap Value - RET	A	Dividend	L	T	Sold (part)	03/02/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

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86. Baillie Gifford Emerg MKTS CLK	A	Dividend	K	T	Sold (part)	03/02/21			
87. WCM Focused Intl Growth Fund	A	Dividend	K	T			J		
88. Wilm Internat'l Fund	B	Dividend	L	T	Buy (add'l)	03/02/21	J		
89. Wilm Large-Cap Strategy Fund	A	Dividend	L	T	Buy (add'l)	03/02/21	J		
90. Wilmington Real Asset Fund-I	A	Dividend	J	T	Buy	01/21/21	J		
91. Wilm Prime MM Fund	A	Dividend	J	T					

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

Part VII -Lines 31-32, AQR Style Premia, the purchase was noted on my 2020 FDR but I missed the sale on 3/20/20. I therefore listed both the purchase and sale on this report.
Line 43, Ishares Core MSCI Emerging was previously listed as Ishares Core MSCI.
Line 46, Ishares MSCI EAFE Value ETF was previously listed as Ishares USA
Line 68, Ishares MSCI USA is now Ishares MSCI USA Quality Factor ETF
Lines 88-90, Ishares Small Cap has been divided into Ishares S&P Small Cap Value and Ishares S&P Small Cap Growth.

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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/ Jane R. Roth

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544