AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Roth, Jane R.	Third Circuit Court of Appeals	08/13/2024
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	01/01/2023 **to** 12/31/2023
	5b. ☐ Amended Report	

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.	08/13/2024

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. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. M & T Bank Checking Acct	A	Interest	J	T					
2. Wells Fargo Bank Checking	A	Interest	J	T					
3. Wells Fargo Bank Savings	A	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	K	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	N	T					
13. -Ishares - S&P 500 Value	D	Dividend	N	T					
14. -Ishares - Small Cap 600	A	Dividend		T	Sold (part)	02/15/23	K	D	
15.					Sold	06/20/23	K		
16. Vanguard MSCI EAFE	B	Dividend	M	T					
17. Vanguard MSCI Emerging Markets	D	Dividend	L	T	Sold (part)	08/23/23	K	D	

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

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Roth, Jane R.	08/13/2024

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

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18. Fed. Muni. Ultrashort	A	Dividend			Sold (part)	01/19/23	K	A	
19.					Sold	10/18/23	K	A	
20. Wilm. Prime Money Market	E	Interest	K	T					
21. Wilm Large-CapFund	C	Dividend	N	T	Sold (part)	01/18/23	K	A	
22.					Sold (part)	07/11/23	K	E	
23.					Sold (part)	06/20/23	M	G	
24. Wilm Trust IRA (H)									
25. AB Concentrated Gr Fd CL Adv	A	Dividend	K	T	Sold (part)	02/16/23	J	A	
26. AMG River Rd Sm-Cap Value FD CL I	A	Dividend	J	T	Sold (part)	02/14/23	J	A	
27.					Sold (part)	02/27/23	J	A	
28. Angel Oak Ultrashrt Bnd-Insr	B	Dividend	K	T	Sold (part)	05/25/23	J	A	
29. Axonic Strategic Income	A	Dividend	J	T	Buy	12/27/23	J		
30. Baillie Gifford Emerg Mkts CL K	A	Dividend	J	T	Sold (part)	02/14/23	J	A	
31. Blackrocck Event Driven Eq Fd CL I	A	Dividend	J	T	Buy (add'l)	01/03/23	J		
32.					Sold (part)	02/14/23	J	B	
33.					Buy (add'l)	02/27/23	J		
34.					Buy (add'l)	07/31/23	J		

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35. Blackrock Taxable Muni Bond	A	Dividend	J	T	Buy	08/02/23	J		
36.					Buy (add'l)	08/03/23	J		
37.					Buy (add'l)	08/11/23	J		
38.					Buy (add'l)	08/14/23	J		
39.					Buy (add'l)	08/17/23	J		
40.					Buy (add'l)	08/25/23	J		
41.					Buy (add'l)	09/11/23	J		
42.					Buy (add'l)	09/13/23	J		
43.					Buy (add'l)	09/14/23	J		
44.					Buy (add'l)	09/19/23	J		
45.					Buy (add'l)	09/21/23	J		
46.					Buy (add'l)	09/25/23	J		
47.					Buy (add'l)	09/29/23	J		
48.					Buy (add'l)	10/03/23	J		
49.					Buy (add'l)	10/04/23	J		
50. Columbia Overseas Value	A	Dividend	K	T	Sold (part)	01/03/23	J	A	
51.					Sold (part)	02/14/23	J	A	

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52. Crossingbridge LW Dur H/Y-INS	B	Dividend	K	T					
53. Eaton Vance Gov't Income Fd CL 1					Sold	03/11/22	J	A	
54. GMO Opprtunistic Income-1	C	Dividend	K	T					
55. Harbor Lg-Cap Value Fd CL Ret	A	Dividend	K	T	Sold (part)	02/14/23	J	A	
56. Ishares Core MSCI Emerging	A	Dividend	K	T					
57. Ishares Core MSCI EAFE ETF	A	Dividend	K	T	Buy (add'l)	02/06/23	J		
58.					Sold (part)	02/14/23	J	A	
59. Ishares MSCI EAFE Value ETF	A	Dividend			Sold (part)	01/03/23	J	A	
60.					Sold (part)	02/14/23	J	A	
61.					Sold	06/27/23	J	A	
62. Ishares MSCI USA Quality Factor ETF	A	Dividend	K	T	Buy (add'l)	01/03/23	K		
63.					Sold (part)	07/31/23	J	A	
64.					Sold (part)	02/14/23	J	A	
65. Ishares MSCI USA Value Factor	A	Dividend	J	T	Sold (part)	02/14/23	J	A	
66. Ishares Russell 1000 Growth	A	Dividend	K	T	Sold (part)	02/14/23	J	A	
67.					Sold (part)	07/31/23	J	A	
68. Ishares Russell 1000 Value	A	Dividend	K	T	Sold (part)	02/14/23	J		

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69.					Buy (add'l)	07/31/23	J		
70. Ishares Russell 2000 Value	A	Dividend	J	T	Buy	12/22/23	J		
71. Ishares S&P Sm-Cap 600 Growth	A	Dividend			Sold	01/03/23	J	A	
72. Ishares 3-7 year Treasury Bond	A	Dividend			Sold (part)	06/16/23	J	A	
73.					Sold (part)	06/21/23	K	A	
74.					Sold (part)	08/17/23	J	A	
75.					Sold (part)	08/25/23	J	A	
76.					Sold (part)	09/13/23	J	A	
77.					Sold (part)	09/14/23	J	A	
78.					Sold (part)	09/19/23	J	A	
79.					Sold (part)	09/21/23	J	A	
80.					Sold (part)	09/25/23	J	A	
81.					Sold (part)	09/29/23	J	A	
82.					Sold	10/03/23	J	A	
83. T Rowe Price Lg-Cap GR FD CL 1	A	Dividend	K	T	Buy (add'l)	01/03/23	J		
84.					Sold (part)	02/14/23	J	A	
85.					Sold (part)	07/31/23	J	A	

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86. Virtus Kar Small Cap Growth		None	J	T	Sold (part)	02/14/23	J	A	
87.					Sold (part)	02/27/23	J	A	
88.					Buy (add'l)	12/22/23	J		
89. WCM Focused Intl Growth Fund		None	K	T	Sold (part)	02/14/23	J	B	
90.					Buy (add'l)	06/27/23	J		
91. Vanguard Short Term Treas Index	C	Dividend	L	T	Buy (add'l)	05/25/23	J		
92.					Buy (add'l)	06/16/23	J		
93.					Buy (add'l)	06/21/23	J		
94.					Buy (add'l)	12/27/23	J		
95. Vanguard Long Term Treasury Index	A	Dividend			Buy	06/16/23	J		
96.					Buy (add'l)	06/21/23	J		
97.					Buy (add'l)	08/02/23	J		
98.					Buy (add'l)	08/03/23	J		
99.					Sold	12/27/23	J	A	
100. Riverpark S/T	B	Dividend	K	T	Sold (part)	03/24/23	J	A	
101.					Sold (part)	05/25/23	J	A	
102. Wilm Large Cap Strategy Fund	A	Dividend	L	T	Sold (part)	02/14/23	J	A	

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103.					Sold (part)	07/31/23	J	A	
104. Wilmington Real Asset Fund	A	Dividend	J	T	Sold (part)	01/03/23	J	A	
105.					Sold (part)	02/14/23	J		
106. BBH Limited Duration Fund	A	Dividend	J	T					
107. Catalyst Enhanced Inc.Strat Fd	A	Dividend			Sold (part)	03/24/23	J	A	
108.					Sold (part)	08/02/23	J	A	
109.					Sold (part)	08/11/23	J	A	
110.					Sold	08/25/23	J	B	
111. Easterly Inc Opportunities	B	Dividend	J	T					
112. Guggenheim Duration					Sold	09/23/22			
113. JPMorgan Mtg-backed Sec	B	Dividend	K	T	Buy (add'l)	05/25/23	J		
114.					Buy (add'l)	06/16/23	J		
115.					Buy (add'l)	06/21/23	J		
116.					Buy (add'l)	08/11/23	J		
117.					Sold (part)	12/27/23	J	A	
118. Met West Flex Inc-1	B	Dividend	J	T	Buy (add'l)	08/02/23	J		
119. Nuveen Credit Strat Income	A	Dividend	J	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

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Roth, Jane R.	08/13/2024

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. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. Nuveen Taxable Municipal Inncone	A	Dividend	J	T	Buy	05/25/23	J		
121.					Buy (add'l)	06/09/23	J		
122.					Buy (add'l)	06/21/23	J		
123.					Buy (add'l)	06/22/23	J		
124.					Buy (add'l)	08/11/23	J		
125.					Buy (add'l)	08/16/23	J		
126.					Buy (add'l)	09/14/23	J		
127.					Buy (add'l)	09/15/23	J		
128.					Buy (add'l)	09/19/23	J		
129.					Buy (add'l)	09/21/23	J		
130.					Buy (add'l)	09/26/23	J		
131.					Buy (add'l)	09/29/23	J		
132.					Buy (add'l)	10/02/23	J		
133.					Buy (add'l)	10/03/23	J		
134. Rational Spec Sit Inc-Inst	A	Dividend	J	T	Sold (part)	03/24/23	J	A	
135.					Sold (part)	08/02/23	J	A	
136.					Sold (part)	12/27/23	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
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

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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. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
137. ReganTotal Return	B	Dividend	K	T	Buy (add'l)	03/24/23	J		
138.					Buy (add'l)	08/02/23	J		
139. River Canyon Tot Ret Bd	A	Dividend	J	T	Buy	08/25/23	J		
140. Wilmington Global Alpha Equities	A	Dividend	J	T	Buy (add'l)	01/03/23	J		
141.					Sold (part)	02/14/23	J	A	
142.					Buy (add'l)	02/27/23	J		
143. Wilmington International Fund-I	A	Dividend	K	T	Sold (part)	01/03/23	J	A	
144.					Sold (part)	02/14/23	J	A	
145.					Buy (add'l)	07/31/23	J		
146. Wilmington U.S. Govt Fund W Class	B	Dividend	K	T					
147. WTC Roth IRA (H)									
148. AB Concentrated Gr Fd CL Adv	A	Dividend	K	T	Buy (add'l)	07/31/23	J		
149. Columbia Overseas Value-13	A	Dividend	K	T	Sold (part)	01/03/23	J	A	
150.					Buy (add'l)	06/27/23	J		
151. Ishares Core Msci Emerging	A	Dividend	J	T	Sold (part)	01/03/23	J	A	
152. Ishares CORE Msci EAFE	A	Dividend	K	T	Buy (add'l)	02/06/23	J		
153. Ishare MSCI USA Quality Factor ETF	A	Dividend	L	T	Buy (add'l)	01/03/23	K		

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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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
154.					Sold (part)	07/31/23	J	A	
155. Ishares MSCI USA Value Factor	A	Dividend	J	T					
156. Ishares MSCI EAFE Value ETF	A	Dividend			Sold (part)	01/03/23	K	A	
157.					Sold	06/27/23	J	A	
158. Ishares Russell 1000 Value ETF	A	Dividend	K	T	Buy (add'l)	07/31/23	J		
159. Ishares Russell 1000 Growth ETF	A	Dividend	K	T	Sold (part)	07/31/23	J	A	
160. Ishares Russell 2000 Value ETF	A	Dividend	J	T	Buy	12/22/23	J		
161. T Rowe Price Lrg Cap Growth		None	K	T	Buy (add'l)	01/03/23	J		
162.					Sold (part)	07/31/23	J	B	
163. AMG River Rd Small Cap	A	Dividend	K	T	Sold (part)	02/27/23	J	B	
164.					Buy (add'l)	07/31/23	J		
165. Artisan Small Cap					Sold	03/25/22			
166. Ishares S&P Small Cap Value	A	Dividend			Sold	01/03/23	K	A	
167. Harbor Large Cap Value - RET	A	Dividend	K	T					
168. Baillie Gifford Emerg MKTS CLK	B	Dividend	K	T	Buy (add'l)	01/03/23	J		
169. Virtus Kar Small Cap Growth		None	J	T	Sold (part)	01/03/23	J	A	
170.					Buy (add'l)	12/22/23	J		

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171. WCM Focused Intl Growth Fund		None	K	T	Buy (add'l)	06/27/23	J		
172. Wilm Internat'l Fund	B	Dividend	K	T	Sold (part)	01/03/23	J	A	
173.					Buy (add'l)	07/31/23	J		
174. Wilm Large-Cap Strategy Fund	A	Dividend	L	T	Sold (part)	07/31/23	J	A	
175. Wilmington Real Asset Fund-I	A	Dividend	J	T	Buy (add'l)	07/31/23	J		
176. Wilm Money Market		None	J	T					

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

There are 3 investments that were sold in 2022 but were ony listed as sold in part on my 2022 FDR. I haved included them in Part VII of the 2023 FDR to explain what happenbed to them. They are
Line 53, Eaton Vance,
Line 112, Guggenheim Duration
Line 165, Artisan Small Cap

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544