

## FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

*Report Required by the Ethics  
in Government Act of 1978,  
(5 U.S.C. App. §§101-111)*

<b>1. Person Reporting (Last name, first, middle initial)</b> Surrick, Richard B.	<b>2. Court or Organization</b> U.S. District Court of E.D. PA	<b>3. Date of Report</b> 5/13/04
<b>4. Title</b> <i>(Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</i> U.S. District Judge, Active	<b>5. Report Type (check appropriate type)</b> ___ Nomination, Date _____ ___ Initial ___ X Annual ___ Final	<b>6. Reporting Period</b> 1/01/2003 to 12/31/03
<b>7. Chambers or Office Address</b> U.S. Courthouse, Room 8614 601 Market Street, Philadelphia, PA 19106	<b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b>  Reviewing Officer _____ Date _____	

**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. Sign on last page.*

**I. POSITIONS.** *(Reporting individual only; see pp. 9-13 of Instructions.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
<input checked="" type="checkbox"/>	NONE (No reportable positions.)	
1		
2		
3		

**II. AGREEMENTS.** *(Reporting individual only; see pp. 14-16 of Instructions.)*

	<u>DATE</u>	<u>PARTIES AND TERMS</u>	
<input type="checkbox"/>	NONE (No reportable agreements.)		
1	2000	Commonwealth of PA State Employee Retirement System – no control	2004 MAY 14 P 4:42
2			RECEIVED

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of Instructions.)*

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>GROSS INCOME</u>
<b>A. Filer's Non-Investment Income</b>			
<input type="checkbox"/>	NONE (No reportable non-investment income.)		
1	2003	Commonwealth of PA State Employee Retirement System	\$ 64,689.12
2			\$
3			\$

**B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)**

<input checked="" type="checkbox"/>	NONE (No reportable non-investment income.)		
1			

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 FINANCIAL DISCLOSURE OFFICE

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Name of Person Reporting  
Surrick, Richard B.

Date of Report  
5/13/04

## IV. REIMBURSEMENTS – transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>
<input checked="" type="checkbox"/>	NONE (No such reportable reimbursements.)	
1		
2		
3		
4		
5		
6		
7		

## V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
<input checked="" type="checkbox"/>	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

## VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
<input type="checkbox"/>	NONE (No reportable liabilities.)		
1	PNC Bank	Line of credit	J
2	AMS Education Trust	Education Loan	K
3	Academic Financial Services Association	Education Loan	J
4			
5			

\*Value Codes: 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=50,000,001 or more

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**VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions** (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets)  <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting		C. Gross value at end of reporting		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt Code (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Meth od Code 3 (Q- W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
<input type="checkbox"/> NONE (No reportable income, assets,									
1 Commonwealth of PA State Employee Retirement System		None	P1	W					
2 Equi-Vest Retirement Program		None	J	W					
3 Pershing Government/Rollover Retirement Acc.		None	M	W					
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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

**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.

com [REDACTED] ment and honoraria and the acceptance of gifts which have been reported are in  
5 U.S.C. § 7353 and Judicial Conference regulations.

Sig [REDACTED] \_\_\_\_\_ Date May 13, 2004

NO [REDACTED] FULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE  
SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App., § 104.)

**FILING INSTRUCTIONS:**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the  
United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544