AO 10
Rev. 1/2011

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010

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) Aldisert, Ruggero J.	**2. Court or Organization** Third Circuit	**3. Date of Report** 04/15/2011
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** 01/01/2010 to 12/31/2010
7. Chambers or Office Address 120 Cremona Drive Suite "D" Santa Barbara CA 93117-5511	**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.** **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 filing instructions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	EmeritusTrustee	University of Pittsburgh
2.	Board of Visitors, Law School	University of Pittsburgh
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

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Aldisert, Ruggero J.	04/15/2011

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 01/26/10	Nat'l Institute of Trial Advocacy (Publications Royalties)	$7,386.77
2. 08/04/10	Nat'l Institute of Trial Advocacy (Publications Royalties)	$850.43
3. 03/24/10	AuthorHouse (Publications Royalties)	$850.43
4. 06/04/10	AuthorHouse (Publications Royalties)	$366.24
5. 10/20/10	AuthorHouse (Publications Royalties)	$295.77
6. 12/06/10	AuthorHouse (Publications Royalties)	$567.44
7. 03/02/10	Thompson Reuters (Publications Royalties)	$1,009.56
8. 03/10/10	Yao Enterprises (Publications Royalties)	$102.18
9.		

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 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				

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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.			

Name of Person Reporting	Date of Report
Aldisert, Ruggero J.	04/15/2011

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)	(5) Identity of buyer/seller (if private transaction)
1. Santa Barbara Bank & Trust Co.	A	Interest	J	T		02/02/10			
2. Bank of America	A	Interest	K	T	Open	02/24/10	K		
3. Mid Atlantic Fin. Mgt. replaced Cantella & Co (IRA) 03/01/10	B	Dividend	K	T	Open	02/02/10	K		
4. ---Davis New York Venture									
5. ---Van Kampen Equity & Income	A	Dividend			Redeemed	12/28/10	J		
6. ---Alliance Bernstein Balanced	A	Dividend							
7. ---Growth Fund America Inc.									
8. --Pimco Global Multi-Asset	A	Dividend	J	T					
9. --Columbia Acorn, class C	A	Dividend	J	T					
10. --VanKampen Comstock,Class C		Dividend	J	T	Buy	12/28/10	J		
11. --PIMCO Commodity Real Return	A	Dividend	J	T	Buy	05/20/10	J		
12.									
13.									
14.									
15.									
16.									
17.									

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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☐ 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)	(2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (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)
18. MUTUAL FUNDS									
19. Gabelli Asset	A	Dividend	K	T					
20. Davis New York Venture	A	Dividend	K	T					
21. Columbia Acorn Fund Cl A	A	Dividend	K	T					
22. American Funds:.Growth Fund of America	A	Dividend	K	T					
23. American Funds:Tax Exempt CA "F"	A	Interest	K	T					
24. Royce Total Return	A	Dividend	J	T					
25. First Eagle Overseas Fund	A	Dividend	K	T					
26. Alliance Bernstein Muni Income	A	Interest	K	T					
27. Diamond Hill Long-Short Fund		None			Sold	01/10/10	J		
28. American Funds Fundamental Invs Inc F-1	A	Dividend	K	T					
29. Alliance-Bernstein Small/MD		None			Sold	01/10/10	J		
30. Van Kampen Harbor	A	Dividend	J	T					
31. VanKampen Comstock A	A	Dividend	K	T					
32. Van Kampen High Yield Muni CA	A	Interest	L	T					
33. Columbia Marsico 21st Cent A	A	Dividend	J	T					
34. Van Kampen Interm-Trdm Muni	A	Interest	K	T					

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35. PIMCO Unconstrained Bond A	A	Interest	K	T					
36. Block Rock Liquidity Fed-Fund Select		None			Sold	02/10/10	J		
37. Alger Fund-Capital Appreciaton	A	Dividend	J	T	Buy	01/10/10	J		
38. First Eagle Fund of America	A	Dividend	K	T	Buy	01/10/10	K		
39. IVY Science & Tech Fd.	A	Dividend	J	T	Buy	01/10/10	J		
40. Van Kampen Small Cap F.	A	Dividend	K	T	Buy	01/10/10	K		
41. COMMON STOCKS									
42. Johnson & Johnson	A	Dividend	K	T					
43. Bank of New York Melllon Corp	A	Dividend	K	T					
44. General Electric	A	Dividend	K	T					
45. IShares FTSE/Xinhau China 25 Fund		None			Sold	02/02/10	J	B	
46. Schlumberger LTD Antilles		None			Sold	02/02/10	J	B	
47. Apple. Inc.		None	J	T					
48.									
49. INVESTMENT CLUB Mission Impossible Partners	C	Dividend	L	T					
50. ---Berkshire Hathaway					Sold	05/26/10	J		
51. ---Exxon Mobil Corp					Sold	01/27/10	J		

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52. ---Apple,Inc									
53. ---Nucor Corp.					Sold	01/17/10	J		
54. --- Bank of America					Sold	10/20/10	J		
55. ---Chesapeake Energy Corp					Sold	02/10/10	J		
56. --Alcoa					Sold	06/27/10	J		
57. --Abbott labs					Sold	02/01/10	J		
58. --BP PLC ADR					Sold	05/04/10	J		
59. --Caterpillar Inc	A	Dividend	J						
60. ---Cliffs Nat Res Inc	A	Dividend	J						
61. ---Ford Motor Co					Sold	07/02/10	J		
62. ---Johnson & Johnson					Sold	05/11/10	J		
63. ---Massey Energy Co.					Sold	05/07/10	J		
64. ---Annaly Capital Mang. Co					Sold	04/22/10	J		
65. ---Chevron Corp New	A	Dividend	J		Buy	09/28/10	J		
66. ---Costco Wholesale Corp	A	Dividend	J		Buy	09/28/10	J		
67. ---Deckers Outoor	A	Dividend	J		Buy	06/29/10	J		
68. ---Du Pont E I De Nemours	A	Dividend	J		Buy	08/31/10	J		

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69. ---First TR Exchange (FDN)	A	Dividend	J		Buy	12/07/10	J		
70. ---Market Vectors (SSO)	A	Dividend	J		Buy	11/02/10	J		
71. ---Newmont Ming Corp	A	Dividend	J		Buy	06/02/10	J		
72. ---Proshares Ultra S&P 500	A	Dividend	J		Buy	11/30/10	J		
73. ---Rio Tinto ADR	A	Dividend	J		Buy	09/28/10	J		
74. ---SPDR Gold Tr Gold	A	Dividend	J		Buy	08/03/10	J		
75. ---SPDR Ser Tr KBW	A	Dividend	J		Buy	12/07/10	J		
76.									
77. MONEY MARKET FUNDS									
78. Fidelity Muni Money Market	A	Interest	L	T					
79. FedFund Select Shares	A	Interest	J	T					
80. Cantella & Co. Privileged Access Gold Account	A	Int./Div.	J	T					
81.									
82.									
83. LIFE INSURANCE POLICIES									
84. Phoenix Whole Life	A	Dividend	J	T					
85. Transarmerica Life Companies Whole Life	A	Dividend	K	T					

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86. Penn Mutuial Whole Life	A	Dividend	J	T					
87.									

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

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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/ Ruggero J. Aldisert

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544