AO 10
Rev. 1/2013

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)	2. Court or Organization	3. Date of Report
Aldisert, Ruggero J.	Third Circuit	06/21/2013

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
Senior U.S. Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☑ Amended Report	01/01/2012 to 12/31/2012

7. Chambers or Office Address

120 Cremona Drive Suite "D"
Santa Babara
CA 93117-5511

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.		

Name of Person Reporting	Date of Report
Aldisert, Ruggero J.	06/21/2013

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. 02/03/2012	Nat'l Institute of Trial Advocacy (Publication Royalties)	$3,568.01
2. 07/27/2012	Nat'l Institute of Trial Advocacy (Publication Royalties)	$1,613.85
3. 04/23/2012	Author House (Publication Royalties)	$127.00
4. 06/06/2012	Author House (Publication Royalties)	$228.78
5. 09/07/2012	Author House (Publication Royalties)	$167.92
6. 09/27/2012	Carolina Academic Press (Publication Royalties)	$445.22
7.		

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.				
3.				
4.				

Name of Person Reporting	Date of Report
Aldisert, Ruggero J.	06/21/2013

5.

Name of Person Reporting	Date of Report
Aldisert, Ruggero J.	06/21/2013

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.	06/21/2013

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 (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)
1. Union Bank, formerly Santa Barbara Bank & Trust Co.	A	Interest	K	T					
2. Bank of America	A	Interest	M	T					
3.									
4.									
5. Mid Atlantic Fin. Mgt. replaced Cantella & Co (IRA) 03/01/10	B	Dividend			Sold	09/25/12	K		Prior "O" wrong; "K" OK
6. ---Davis New York Venture	A	Dividend			Sold	09/25/12	J		
7. ---Alliance Bernstein Balanced	A	Dividend			Sold	09/25/12	J		
8. ---Growth Fund America Inc.	A	Dividend			Sold	09/25/12	J		
9. --Pimco Global Multi-Asset	A	Dividend			Sold	09/25/12	J		
10. --Columbia Acorn, class C	A	Dividend			Sold	09/25/12	J		
11. --Invesco VanKampen Comstock, Class C	A	Dividend			Sold	09/25/12	J		
12. --PIMCO Commodity Real Return	A	Dividend			Sold	09/25/12	J		
13.									
14.									
15. MUTUAL FUNDS									
16. Gabelli Asset	A	Dividend	K	T	Sold (part)	07/18/12	J	B	
17. Davis New York Venture	A	Dividend	K	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
Aldisert, Ruggero J.	06/21/2013

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)
18. Columbia Acorn Fund Cl A	A	Dividend			Sold	05/12/12	K	B	
19. American Funds: Growth Fund of America	A	Dividend			Sold	05/12/12	K	C	
20. Royce Total Return	A	Dividend	J	T					
21. First Eagle Overseas Fund	A	Dividend	K	T					
22. Alliance Bernstein Muni Income	A	Interest	L	T	Buy	05/21/12	L		
23. American Funds Fundamental Invs Inc F-1	A	Dividend	K	T					
24. PIMCO Unconstrained Bond A	A	Interest	K	T					
25. Alger Fund-Capital Appreciaton	A	Dividend	J	T	Buy	03/26/12	J		
26. First Eagle Fund of America	A	Interest	K	T	Buy	06/23/12	K		
27. IVY Science & Tech Fd.	A	Dividend	K	T	Buy	05/17/12	K		
28. Invesco Van Kampen Comstock A	A	Dividend			Sold	09/06/12	K	A	
29. Invesco Van Kampen High Yield Muni CA	A	Interest			Sold	09/06/12	K		
30. Pimco Emerging Local Bond A	A	Interest	J	T	Buy	11/12/12	J		
31. Pimco Investment Grade Corp Bond	A	Interest	J	T	Buy	11/12/12	J		
32. Invesco Van Kampen Convertible Securities	A	Dividend	J	T	Buy	07/27/12	J		
33. Templeton Global Bond Class A	A	Interest	J	T	Buy	07/27/12	J		
34. Franklin Floating Rate Daily Access, Class A	A	Interest	J	T	Buy	07/27/12	J		

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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☐ 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)
35. JP Morgan US Equity A	A	Interest	K	T	Buy	07/16/12	K		
36. Alliance Berstein High Income Municipal A	A	Interest	K	T	Buy	07/25/12	K		
37. MFS Value A (USA)	A	Dividend	K	T	Buy	03/12/12	K		
38. Invesco Van Kampen Small Cap Value	A	Dividend	K	T	Buy	04/12/12	K		
39. Invesco Van Kampen Intermediate Muni Inc.	A	Interest	K	T	Buy	06/25/12	K		
40. Alliance Bernstein Muni CAA A	B	Interest	L	T	Buy	06/25/12	L		
41. Delaware Small Cap Fund	A	Interest	K	T	Buy	03/22/12	K		
42. American Funds Tax Exempt CA F	A	Interest	K	T					
43.									
44. COMMON STOCKS									
45. Johnson & Johnson	A	Dividend	K	T					
46. Bank of New York Melllon Corp	A	Dividend	K	T					
47. General Electric	A	Dividend	K	T					
48. Schlumberger LTD Antilles	A	Dividend	J	T	Buy	03/01/12	J		
49. Apple. Inc.		Dividend	J	T					
50.									
51.									

1. Income Gain Codes: (See Columns B1 and 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 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	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	
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52.	INVESTMENT CLUB Mission Impossible Partners	C	Dividend	L	T					
53.	---Apple, Inc	A	Dividend	J	T					
54.	--Caterpillar Inc	A	Dividend	J	T					
55.	---Deckers Outdoor	A	Dividend	J	T	Buy	03/15/12	J		
56.	Cunmmins Inc.	A	Distribution	J	T	Buy	06/06/12	J		
57.	Costco Wholesale Corp	A	Dividend			Sold	03/15/12	J		
58.	Coca Cola Co.	A	Dividend			Sold	03/15/12	J	A	
59.	Marathon Oil Corp	A	Dividend			Sold	03/15/12	J	A	
60.	Dow Chemical Co.	A	Dividend	J	T	Buy	03/15/12	J	A	
61.	Disney, Walt Co.	A	Dividend	J	T	Buy	04/25/12	J		
62.	Fidelity Corporate Bond	A	Interest	J	T	Buy	05/28/12	J		
63.	General Electric Co.	A	Dividend	J	T	Buy	07/25/12	J		
64.	McDonalds Corp	A	Dividend	J	T	Buy	07/25/12	J		
65.	Microsoft Corp	A	Dividend	J	T					
66.	Novo-Nordisk as ADR Each	A	Dividend	J	T	Buy	08/27/12	J		
67.	Panera Bread Co.	A	Dividend	J	T	Buy	08/27/12	J		
68.	SchlumbergerLimited Corp	A	Dividend	J	T	Buy	09/28/12	J		

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69. SPDR Gold Tr Gold SHS		None			Sold	10/15/12	J		
70.									
71. MONEY MARKET FUNDS									
72. Fidelity Muni Money Market	A	Interest	L	T					
73. FedFund Select Shares	A	Interest	J	T					
74.									
75.									
76. LIFE INSURANCE POLICIES									
77. Phoenix Whole Life	A	Dividend	J	T					
78. Transarmerica Life Companies Whole Life	A	Dividend	K	T					
79. Penn Mutuial Whole Life	A	Dividend	J	T					
80.									

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

In my previous report, I inadvertently omitted from Section VII. INVESTMENTS and TRUSTS the following assets "American Funds Tax Exempt CA F" and "SPDR Gold Tr Gold SHS."
I have now amended the Section.
Please refer to Line 42 for the status of "American Funds Tax Exempt CA F."
Please refer to Line 69 for the status of "SPDR Gold TR Gold SHS."

Name of Person Reporting	Date of Report
Aldisert, Ruggero J.	06/21/2013

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/ Ruggero J. Aldisert

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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Washington, D.C. 20544