

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) Noonan, Jr., John T.	2. Court or Organization U.S. Court of Appeals, 9th	3. Date of Report 10/10/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Court of Appeals 95 Seventh Street San Francisco, CA 94103		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. President and Director	Thomas More-Jacques Maritain Institute (non-profit cultural organization)
2. Member	Advisory Council, Transparency International
3. Member	Editorial Board, American Journal of Jurisprudence
4. Member	President's Council, Graduate Theological School
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 07/01/86	University of California pension based on service
2.	
3.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Pension: University of California	\$45,144.86
2. 2012	Royalties: University of Notre Dame Du Lac	\$58.64
3. 2012	Royalties: West Services Inc	\$1,463.09
4. 2012	Royalties: University of California Los Angeles	\$293.17
5. 2012	Refund: California Franchise Tax Board	\$0.00
6.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Bill & Melinda Gates Foundation	06/19/12	Seattle WA	Meeting	Airfare, Lodging, Meals for self & wife
2.				
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.		

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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. Wells Fargo Checking	A	Interest	M	T					
2. Wells Fargo Market Rate	A	Interest	L	T					
3. Wells Fargo retirement CD's	A	Interest	K	T					
4. Teachers Insurance and Annuity Association	D	Interest	M	T					
5. ****Schwab IRA (H)									
6. - Schwab U.S. Treasury Money Fund	A	Dividend	K	T					
7. - PIMCO Total Return Institutional	B	Dividend	K	T	Buy	03/19/12	K		
8. - Fidelity Growth Company	C	Dividend	M	T					
9. - Vanguard FTSE All-Wld ex-US Idx Admiral	B	Dividend	L	T					
10. - IVA International I	C	Dividend	L	T					
11. - Parametric Emerging Markets Fund	B	Dividend	L	T					
12. ****Schwab IRA (H)									
13. - PIMCO Total Return Fund	A	Dividend	J	T	Buy	09/20/12	J		
14. - Fidelity Equity Income II	A	Dividend	J	T					
15. - Fidelity Blue Chip Growth	A	Dividend			Sold	09/20/12	J	A	
16. Legacy Treasury Direct	B	Interest	K	T					
17. ****Schwab (H)									

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. - Schwab U.S. Treasury Money Fund	A	Dividend	L	T					
19. - PIMCO Total Return Institutional	C	Dividend	L	T	Buy (add'l)	09/20/12	K		
20. - Templeton Global Bond Adv	D	Dividend	M	T	Buy (add'l)	09/20/12	L		
21. - BEAM Inc.	A	Dividend	K	T					
22. - Coca-Cola Common	B	Dividend	L	T					
23. - Eli Lilly & Corporation	B	Dividend	K	T					
24. - Fortune Brands Home & Security		None	J	T					
25. - General Mills	B	Dividend	L	T					
26. - International Business Machines Common	B	Dividend	L	T					
27. - JP Morgan Chase & Co Com	B	Dividend	L	T					
28. - Monsanto Co New Com	A	Dividend	K	T					
29. - Neurobiological Technologies Inc.		None	J	T					
30. - Pfizer Inc.	B	Dividend	K	T					
31. - Procter & Gamble Co Common	B	Dividend	L	T					
32. - BP Plc	B	Dividend	K	T					
33. - Harbor International	A	Dividend	M	T	Buy	12/19/12	M		
34. - IVA International I	B	Dividend	K	T	Buy	03/19/12	K		

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	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
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35. - Parametric Emerging Markets Fund	A	Dividend	K	T	Buy	09/20/12	K		
36. - JPMorgan Strategic Income Opps	C	Dividend	M	T	Buy (add'l)	12/14/12	L		
37. - Wasatch Long/Short	A	Dividend	M	T	Buy (add'l)	12/14/12	L		
38. - Fidelity Magellan Fund	C	Dividend			Sold	12/19/12	M	B	
39. **** Schwab (H)									
40. - Schwab Govt Money Fund (X)		None	K	T					
41. - Alhambra California Muni	B	Interest	K	T					
42. - Brea & Olinda California Muni	A	Interest	K	T					
43. - Burlingame California Muni	B	Interest	K	T					
44. - California State Dept Muni	B	Interest	K	T					
45. - California State Economic Muni	B	Interest	K	T					
46. - Campbell California Un High Sch Dist Muni		None	K	T	Buy	07/27/12	K		
47. - Clark County Nevada Hwy Muni	A	Interest	K	T					
48. - Corona-Norco California Uni School District Muni	B	Interest	K	T					
49. - Hartnell California Cmnty College Muni	A	Interest	K	T					
50. - Kane Kendall Muni	B	Interest	K	T					
51. - Los Angeles California Cmnty College Muni	A	Interest	K	T					

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52. - Los Angeles County California Muni	B	Interest	K	T					
53. - San Bernardino CA Muni	B	Interest			Sold	08/01/12	K		
54. - Saugus California Uni Sch Dist Muni	B	Interest	K	T					
55. - Simi Valley California Muni	B	Interest	K	T					
56. - Southern California Public Muni	A	Interest	K	T					
57. - Southwestern Cmnty College Dist Muni	B	Interest	K	T					
58. - University of California Muni	A	Interest	K	T					
59. - William S Hart California Muni	A	Interest	K	T					
60. **** Schwab IRA (H)									
61. - PIMCO Total Return Fund	A	Dividend	J	T	Buy	09/20/12	J		
62. - PIMCO Total Return Fund					Sold (part)	12/19/12	J		
63. - Wells Fargo Advantage Government Sec A	A	Int./Div.	J	T					
64. - Wells Fargo Advantage Premier Large	B	Int./Div.			Sold	09/20/12	J	B	
65. **** Schwab IRA (H)									
66. - Wasatch Long/Short	A	Dividend	J	T	Buy	03/19/12	J		
67. ****BofA Trust Number (No personal income) (H)	D	Dividend	O	T					
68. - Large Cap Growth CTF	B	Dividend	L	T	Redeemed (part)	04/04/12	K	B	

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69. - Large Cap Value Quantitative Common Trust Fund	C	Dividend	L	T	Redeemed (part)	03/05/12	K		
70. - Mid Cap Growth CTF	A	Dividend	K	T	Redeemed (part)	03/05/12	J	A	
71. - Mid Cap Value CTF	A	Dividend	K	T	Buy (add'l)	03/05/12	J		
72. - Small Cap Growth Leaders CTF	A	Dividend	J	T	Redeemed (part)	03/05/12	J	A	
73. - Small Cap Value CTF	A	Dividend	J	T	Buy (add'l)	03/05/12	J		
74. - Small Cap Value CTF					Redeemed (part)	01/05/12	J		
75. - International Equity CTF	A	Dividend	K	T	Redeemed (part)	04/04/12	K	D	
76. - Emerging Markets Stock Common Trust Fund	A	Dividend	K	T	Buy (add'l)	04/04/12	K		
77. - Emerging Markets Stock Common Trust Fund					Redeemed (part)	03/05/12	J		
78. - Tax Exempt CTF	C	Int./Div.	L	T	Redeemed (part)	07/05/12	K	B	
79. - Columbia High Yield Muni Fund	B	Int./Div.	K	T	Buy (add'l)	03/05/12	K		
80. - Ivy Asset Strategy Fund	A	Dividend	J	T	Buy	03/05/12	J		
81. - Permanent Portfolio	A	Dividend	K	T	Buy	04/24/12	K		
82. - Pimco All Asset All Auth Fund	B	Dividend	K	T	Buy	04/24/12	K		
83. - Vanguard REIT	A	Dividend	K	T	Buy	09/06/12	K		
84. - Powershares DB Commodity Index Fund		None	K	T	Buy	07/05/12	K		
85. - Powershares DB Commodity Index Fund					Sold (part)	09/06/12	J	A	

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86. - AQR Diversified Arbitrage Fund		None			Buy	03/05/12	K		
87. - AQR Diversified Arbitrage Fund					Redeemed	04/23/12	K	A	
88. - Goldman Sachs Absolute Return Fund		None			Buy	03/05/12	K		
89. - Goldman Sachs Absolute Return Fund					Redeemed	04/23/12	K		
90. - Natixis Fund Trust		None			Buy (add'l)	03/05/12	J		
91. - Natixis Fund Trust					Redeemed	04/19/12	J	A	
92. - Pimco Commodity Real Return Fund		None			Buy (add'l)	03/05/12	J		
93. - Pimco Commodity Real Return Fund					Redeemed	07/02/12	K		
94. - Delaware Emerging Markets Fund		None			Redeemed	03/05/12	K	A	
95. - John Hancock Funds III Disciplined		None			Redeemed	03/05/12	J	A	
96. - Westcore Small Cap Value Fund		None			Redeemed	03/05/12	J	A	
97. ****Trust #2 BofA (No personal income) (H)	D	Dividend	N	T					
98. - Large Cap Growth CTF	A	Dividend	K	T	Redeemed (part)	04/04/12	J	A	
99. - Large Cap Value Quantitative Common Trust Fund	A	Dividend	K	T	Redeemed (part)	04/04/12	J	A	
100. - Mid Cap Growth CTF	A	Dividend	J	T	Redeemed (part)	03/05/12	J	A	
101. - Mid Cap Value CTF	A	Dividend	J	T					
102. - Small Cap Growth Leaders CTF	A	Dividend	J	T	Redeemed (part)	03/05/12	J	A	

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103. - Small Cap Value CTF	A	Dividend	J	T					
104. - International Equity CTF	A	Dividend	J	T	Redeemed (part)	04/04/12	J	C	
105. -Emerging Markets Stock Common Trust Fund	A	Dividend	J	T	Buy (add'l)	04/04/12	J		
106. - MA Intermediate Tax Exempt Bond	C	Interest	M	T	Redeemed (part)	07/05/12	J		
107. - Rowe T Price International	A	Dividend	J	T	Buy (add'l)	03/05/12	J		
108. - Columbia High Yield Muni Fund	B	Int./Div.	K	T	Buy (add'l)	03/05/12	J		
109. - Columbia High Yield Muni Fund					Redeemed (part)	03/05/12	J	A	
110. - Ivy Asset Strategy Fund	A	Dividend	J	T	Buy	04/04/12	J		
111. - Permanent Portfolio	A	Dividend	J	T	Buy	04/23/12	J		
112. - Pimco All Asset All Auth Fund	A	Dividend	J	T	Buy	04/24/12	J		
113. - Vanguard REIT	A	Dividend	J	T	Buy	09/06/12	J		
114. - Powershares DB Commodity Fund		None	J	T	Buy	07/05/12	J		
115. - Powershares DB Commodity Fund					Sold (part)	09/06/12	J	A	
116. - Goldman Sachs Absolute Return Fund		None			Buy	03/05/12	J		
117. - Goldman Sachs Absolute Return Fund					Redeemed	04/23/12	J		
118. - AQR Diversified Arbitrage Fund		None			Buy	04/04/12	J		
119. - AQR Diversified Arbitrage Fund					Redeemed	04/20/12	J	A	

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	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)
120. - Delaware Emerging Markets Fund		None			Redeemed	03/05/12	J	A	
121. - John Hancock Funds III Disciplined		None			Redeemed	03/05/12	J	A	
122. - Equity Income Fund for Trusts		None			Redeemed	09/09/12	J	A	
123. - Natixis Funds Trust		None			Redeemed	03/05/12	J	A	
124. - Westcore Small Cap Value		None			Redeemed	03/05/12	J	A	
125. - Pimco Commodity Real Return Fund		None			Redeemed	07/02/12	J		

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	
3. Value Method Codes (See Column 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.)*

To simplify the organization of the report, and to make yearly updates easier, under Part VII, for investment accounts with multiple investments within, the investment firm name and partial account number is listed first preceded with four (4) asterisks, with the underlying investments listed in the lines thereafter, preceded by a hyphen, as shown below:

****Account Name

-Large Cap Fund

-Small Cap Fund

-Mid Cap Fund

Two trusts referred to in this report are as follow:

1. Trust: Trust was created on December 15, 1976. It became irrevocable on death in 1990 and divided into three shares. The trustee has discretion to pay the income and principal.

2. 1976 Trust: 1976 Trust was formed in 1976 and became irrevocable on death in 1987. On death the property was divided into equal shares. The trustee has discretion to pay some or all of the net income or principal of my share. The trust terminates on the death of, the remainder going to.

3. The income of both trusts was paid by the trustee in 2012. At the request of the Committee on Financial Disclosure, I have summarized the reports I have received.

In April 2000, Fleet Bank acquired the Bank of Boston, and then Bank of America acquired Fleet, and became the trustee of the above trusts. The trusts were also subdivided into distinct trusts of the grantors, so that there is now a distinct trust under the same trust instruments. Report is not made here of sales of odd lots (typically one or two shares) made to make it easier to divide the trusts into thirds.

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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/ **John T. Noonan, Jr.**

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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One Columbus Circle, N.E.
Washington, D.C. 20544