

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Pacz, Richard A.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 06/11/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Court of Appeals 125 S. Grand Avenue, Ste. 300 Pasadena, CA 91105		
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. Board of Directors, Chair	Western Justice Center, Pasadena, CA
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.	

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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. Monthly	California Judges Retirement System	\$6,606.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2013	 - Salary
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. NYU - Law School	April 5-8	New York	Scholarship/Interviews	Air Fare and Hotel
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Kirkland & Ellis LLP	Pro bono legal representation	\$47,329.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Fidelity Magellan	A	Dividend	J	T					
2. Fidelity Cash Reserves (IRA)	A	Dividend			Sold	11/18/13	J	A	
3. Fidelity Short Term Bond (IRA)	A	Dividend			Sold	11/18/13	J	A	
4. Fidelity Govt Income (IRA)	A	Dividend			Sold	11/18/13	J	A	
5. Fidelity Asset Mgr 30% (IRA)	A	Dividend	K	T	Buy	11/18/13	K		
6. Fidelity CA Muni MM	A	Dividend	J	T	Sold (part)	11/12/13	L	A	
7. Fidelity CA Muni MM	A	Dividend			Sold	11/15/13	L	A	
8. Fidelity Asset Mgr 20%	A	Dividend	L	T	Buy	11/12/13	L		
9. SAFRA Nat'l Bk N.Y. CD	A	Int./Div.	L	T	Buy	11/15/13	L		
10. REDACTED Retiremt Plan Mod Risk	A	Dividend	L	T					
11. Fidelity PAS (IRA)(Sp) See Note	D	Dividend							
12. - Fidelity Cap & Inc Fund	A	Dividend			Sold	01/15/13	J	A	
13. - Fidelity Total Bond	A	Dividend	K	T					
14. - Pimco Total Return Adm Shs	A	Dividend	K	T	Sold (part)	04/21/13	J	A	
15. - Pimco Short Term Adm Shs	A	Dividend	J	T	Sold (part)	01/25/13	J	A	
16. - Pimco Short Term Adm Shs					Sold (part)	04/24/13	J	A	
17. - Pimco Short Term Adm Shs					Sold (part)	08/08/13	J	A	

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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	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. - Strategic Advisors Small-mid Cap Fund	A	Dividend	K	T	Buy (add'l)	04/24/13	J		
19. - Strategic Advisors Small MidCap Fund					Buy (add'l)	06/26/13	J		
20. - Strategic Advisers Small MidCap Fund					Buy (add'l)	08/08/13	J		
21. - Strategic Advisors Val. Fund					Sold (part)	01/25/13	J	A	
22. - Strategic Advisors Val. Fund					Buy (add'l)	07/24/13	J		
23. - Strategic Advisers Core Income Fund	A	Dividend	L	T	Buy (add'l)	01/25/13	J		
24. - Strategoc Advisers Core Income Fund					Buy (add'l)	03/18/13	J		
25. - Strategic Advisers Core Income Fund					Sold (part)	04/24/13	J	A	
26. - Strategic Advisers Core Income Fund					Buy (add'l)	05/23/13	J		
27. - Strategic Advisers Core Income Fund					Buy (add'l)	05/24/13	J		
28. - Strategic Advisers Core Income Fund					Buy (add'l)	07/24/13	J		
29. - Strategic Advisers Core Income Fund					Buy (add'l)	09/13/13	J		
30. - Strategic Advisers Core Income Fund					Buy (add'l)	11/07/13	J		
31. - Strategic Advisers Core Fund	B	Dividend	L	T	Sold (part)	01/25/13	J	A	
32. - Strategic Advisers Core Fund					Sold (part)	04/24/13	J	A	
33. - Strategic Advisers Core Fund					Sold (part)	06/26/13	J	A	
34. - Strategic Advisers Core Fund					Sold (part)	07/24/13	J	A	

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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				
	(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)

35. - Strategic Advisers Core Fund					Sold (part)	09/13/13	J	A	
36. - Strategic Advisers Core Fund					Buy (add'l)	11/07/13	J		
37. - Strategic Advisers Int'l Fund	C	Dividend	M	T	Buy (add'l)	01/25/13	J		
38. - Strategic Advisers Int'l Fund					Buy (add'l)	04/24/13	J		
39. - Strategic Advisers Int'l Fund					Buy (add'l)	06/26/13	J		
40. - Strategic Advisers Int'l Fund					Buy (add'l)	10/15/13	J		
41. - Strategic Advisers Int'l Fund					Buy (add'l)	11/07/13	J		
42. - Strategic Advisers Int'l Fund					Buy (add'l)	11/08/13	J		
43. - Strategic Advisers US Opportunities Fund	A	Dividend	K	T					
44. - Strategic Advisers Growth Fund	A	Dividend	L	T	Sold (part)	03/18/13	J	A	
45. - Strategic Advisers Growth Fund					Sold (part)	09/13/13	J	A	
46. - Strategic Advisers Emerging Markets	A	Dividend	J	T	Sold (part)	01/25/13	J	A	
47. - Strategic Advisers Emerging Markets					Buy (add'l)	04/24/13	J		
48. - Strategic Advisers Emerging Markets					Sold (part)	07/24/13	J	A	
49. - Strategic Advisers Emerging Markets					Sold (part)	09/13/13	J	A	
50. - Fidelity Select Gold	A	Dividend	J	T	Sold (part)	01/25/13	J	A	
51. - Fidelity Select Gold					Sold (part)	04/24/13	J	A	

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52. - Fidelity Select Gold					Sold (part)	05/02/13	J	A	
53. - Fidelity Select Gold					Sold	05/23/13	J	A	
54. - FIMM Market Port Inst CL	A	Dividend	K	T	Sold (part)	01/25/13	J	A	
55. - FIMM Market Port Inst CL					Sold (part)	02/20/13	J	A	
56. - FIMM Market Port Inst CL					Sold (part)	11/07/13	J	A	
57. - Merger Fund	A	Dividend	J	T					
58. - Metropolitan West Low Duration	A	Dividend	J	T	Sold (part)	04/24/13	J	A	
59. - Metropolitan West Low Duration					Sold (part)	10/15/13	J	A	
60. - Metropolitan West Low Duration					Sold (part)	11/07/13	J	A	
61. - Strategic Advisers Income Opportunities	A	Dividend	K	T	Sold (part)	01/25/13	J	A	
62. - Strategic Advisers Income Opportunities					Buy (add'l)	05/02/13	J		
63. - Strategic Advisers Income Opportunities					Sold (part)	11/07/13	J	A	
64. - Templeton Global Bond Class A	A	Dividend	J	T					
65. - Arden Alt Strategies Class I	A	Dividend	J	T					
66. - Strategic Advisers Sht Duration Fund	A	Dividend	K	T	Buy	01/25/13	J		
67. - Strategic Advisers Sht Duration Fund					Buy (add'l)	03/18/13	J		
68. - Strategic Advisers Sht Duration Fund					Buy (add'l)	05/23/13	J		

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69. - Strategic Advisers Sht Duration Fund					Sold (part)	06/26/13	J	A	
70. - Strategic Advisers Sht Duration Fund					Buy (add'l)	07/24/13	J		
71. - Strategic Advisers Sht Duration Fund					Sold (part)	08/08/13	J	A	
72. - Strategic Advisers Sht Duration Fund					Buy (add'l)	11/07/13	J		
73. - Blackstone Alt MuHi Mgr	A	Dividend	J	T	Buy	08/08/13	J		
74. - Blackstone Alt MuHi Mgr.					Buy (add'l)	09/13/13	J		

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

Part VII. Investments and Trusts (cont'd)

* Line 106 - [REDACTED] (401k) Retirement Plan is managed by Fidelity's Strategic Advisers, Inc.

* Line 11 - Fidelity Portfolio Advisory Services manages [REDACTED] IRA.

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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/ **Richard A. Paez**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544