

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Ikuta, Sandra S.	2. Court or Organization Ninth Circuit	3. Date of Report 03/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Court of Appeals - Ninth 125 South Grand Avenue Pasadena, California 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.		
3.		
4.		
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. 1997	O'Melveny & Myers Defined Benefit Plan with former law firm (no control)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

03/28/2017

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.

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.)*

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. Federalist Society

Nov. 17-19, 2016

Washington, DC

Educational seminar

Hotel, meals

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

03/28/2017

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.			
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.	City National Bank	Mortgage on rental property, Agoura, CA	L
2.	Citimortgage	Mortgage on rental property, West Los Angeles, CA	L
3.	Union Bank	Mortgage on rental property, West Los Angeles, CA	M
4.	Union Bank	Mortgage on rental property, Santa Monica, CA	O
5.	City National Bank	Mortgage on rental property #2, Los Angeles, CA	O

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

03/28/2017

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. Series EE U.S. Savings Bonds	A	Interest	J	T					
2. City National Bank (various accounts)	A	Interest	M	T					
3. Voya Flexible Premium Adjustable Universal Life Insurance	C	Interest	L	T					
4. Japanese American Community Credit Union	A	Int./Div.	J	T					
5. Trust #1 (H)									
6. Rental property, Agoura, CA	E	Rent	O	V					
7. 50% interest in rental property, Venice, CA	E	Rent	O	V					
8. 50% interest in rental property, West Los Angeles, CA	E	Rent	O	V					
9. 33% interest in rental property, Santa Monica, CA	E	Rent	O	V					
10. Rental property, Los Angeles, CA	F	Rent	P1	V					
11. Rental Property #2, Los Angeles, CA (X)	A	Rent	P1	V					
12. CNR Calif Tax-Exempt Money Market Serv 2635 (Y)									
13. CNR Gov't Money Market Account (CNIXX) (X)	A	Interest	K	T					
14. CNR Calif Tax-Exempt Bd Fd Serv 2643	C	Dividend	M	T	Sold (part)	06/09/16	J	A	
15.					Sold (part)	12/23/16	K		
16. CNR Dividend & Income Fd C1 N	B	Dividend	K	T	Sold (part)	06/09/16	J	B	
17. CNR Emerging Markets Fund C1 N 1225	A	Dividend	K	T					

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Ikuta, Sandra S.

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	(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. CNR Fixed Income Opportunities Fd. Cl N#1236	C	Dividend	L	T	Buy (add'l)	06/08/16	J		
19. CNR Muni High Income Fd 2668	C	Dividend	L	T	Buy (add'l)	06/08/16	J		
20. CNR US Core Equity Fd Ser #2665	A	Dividend	L	T	Sold (part)	06/09/16	J	C	
21. SPDR S&P 500 ETF Trust		None	K	T	Buy	12/22/16	K		
22. Third Avenue TR Real Estate Value Fund		None			Sold	03/16/16	J		
23. Touchstone Small Cap Core Fund Y	A	Dividend	J	T	Sold (part)	06/09/16	J	A	
24. Tweedy Browne Global Value Fd #001	A	Dividend	J	T					
25. Vanguard REIT ETF	A	Dividend	J	T	Buy	03/15/16	J		
26. Voya Global Real Estate Fund	A	Dividend	J	T					
27. IRA #1 (H)									
28. CNR Prime MM Fd Serv #2631 (Y)									
29. CNR Gov't Money Market Account (CNIXX) (X)	A	Interest	K	T					
30. CNR Corporate Bd Fd Serv Cl 2641	C	Dividend	M	T	Buy (add'l)	03/31/16	J		
31. CNR Govt Bd Fd Serv Cl 2639	A	Dividend	L	T	Sold (part)	04/01/16	J		
32. CNR High Yield Bond Fund Serv 2646	B	Dividend	K	T	Buy (add'l)	03/31/16	J		
33. CNR US Core Equity Fd Ser #2665	A	Dividend	K	T	Sold (part)	04/01/16	J		
34. Eaton Vance Fl Rate Adv Fd Cl 1	B	Dividend	K	T	Buy (add'l)	03/31/16	J		

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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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

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35. Oppenheimer Dev Markets Cl 1	A	Dividend	J	T					
36. SPDR S&P Dividend ETF	A	Dividend	K	T	Sold (part)	04/05/16	J		
37. Third Avenue Real Estate Value #446	A	Dividend	J	T	Sold (part)	03/16/16	J		
38. Touchstone Small Cap Core Fund Y	A	Dividend	J	T	Sold (part)	04/01/16	J		
39. Tweedy Browne Global Value Fd #001	A	Dividend	J	T					
40. Vaneck Vectors Emerging Markets High Yield Bond Fund ETF	B	Dividend	L	T	Buy (add'l)	03/31/16	J		
41. Vanguard REIT ETF	A	Dividend	J	T	Buy	03/15/16	J		
42. Voya Global Real Estate Fund	A	Dividend	J	T					
43. Brokerage Account #1 (H)									
44. Vanguard 500 Index Fund Inv (Y)									
45. Vanguard Small Cap Index Fund Inv (Y)									
46. American Funds VCSP/College America 529A (H)									
47. Growth Fund of America	A	Dividend	J	T	Sold (part)	12/05/16	J	D	
48. The Investment Company of America (Y)									
49. Washington Mutual Investors Fund	A	Dividend	J	T	Sold (part)	12/05/16	J	D	
50. The Bond Fund of America (Y)									

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

03/28/2017

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

Part VI, lines 2 & 3: the value codes represent 100% of the mortgage, but the reportable interest in the property is 50%

Part VI, line 4: the value code represents 100% of the mortgage, but the reportable interest in the property is 33%

Part VII, lines 1-4: these assets were relocated on this report to clarify that they do not fall under any of the listed headers

Part VII, lines 6-11: value method code V indicates a valuation derived from Zillow and/or Redfin

Part VII, lines 7 & 8: income and value are included in this report at 50%, consistent with percentage of ownership of the property

Part VII, line 9: income and value are included in this report at 33%, consistent with percentage of ownership of the property

Part VII, line 40: name change (formerly Market Vectors Emer H/Y Bd ETF).

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

03/28/2017

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/ Sandra S. Ikuta**

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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