

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) Fernandez, Ferdinand F.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Senior	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 125 S. Grand Avenue, Suite 602 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.		
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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Name of Person Reporting

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

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.	West Publishing Co.	Books	\$1,255.00
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. Accts. at Wells Fargo Bank	A	Interest	L	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	B	Interest	L	T					
5. Accts. at Community Bank	A	Interest	L	T					
6. Accts. at California Bank and Trust	A	Interest	L	T					
7. Accts. at Pacific Western Bank	B	Interest	L	T					
8. Accts. at U.S. Bank	A	Interest	M	T					
9. Accts. at Community Commerce Bank	A	Interest	M	T					
10. Accts. at Bank of the West	A	Interest	L	T					
11. Accts. at Citizens Business Bank	A	Interest	L	T					
12. Accts. at Security Bank of California	A	Interest	L	T					
13. Acct. at Ally Bank	A	Interest	L	T					
14. Acct. at Bank of China	A	Interest	L	T					
15. Am. Fund Cap Income Builder; CI A	C	Dividend	L	T					
16. Am. Fund New Economy CI A	A	Dividend	J	T					
17. Income Fund of America CI A	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	

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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 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. Am. Cap. Fund CI A	A	Dividend	K	T					
19. Am. Fund Balanced Fund CI A	B	Dividend	L	T					
20. Am Fund Capital World Growth Fund CI A	A	Dividend	K	T					
21. Am Fund Growth Fund CI A	A	Dividend	L	T					
22. Am Fund, Inv. Co. of America CI A	A	Dividend	J	T					
23. Wash. Mut. Inv. Fund CI A	B	Dividend	K	T					
24. Invesco Van Kampen Am. Franchise Fund CI A	A	Dividend	K	T					
25. Invesco Van Kampen Real Estate Fund CI A	A	Dividend	L	T					
26. Invesco Van Kampen Comstock Fund CI A (formerly Van Kampen Comstock)	A	Dividend	K	T					
27. Select Notes Trust Sec. LT #5	A	Interest	J	T					
28. GNMA Pool Cert.	A	Interest	J	T					
29. U.S. T. Bills	A	Interest			Sold	9/12/13	K	A	
30. U.S. T. Bills	A	Interest	L	T					
31. U.S. T. Bills	A	Interest	K	T					
32. U.S. T. Bills	A	Interest			Sold	07/25/13	K	A	
33. U.S. T. Bills	A	Interest			Sold	07/25/13	K	A	
34. U.S. T. Bills	A	Interest	K	T					

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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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35. U.S. T. Bills	A	Interest	N	T					
36. U.S. T. Bills	A	Interest	L	T					
37. U.S. T. Bills	A	Interest	L	T					
38. Trust #1; Income Beneficiary (Items 39-69)									
39. (a) Wells Fargo, Trustee									
40. (i) Wells Fargo Common Trust Funds and Cash	B	Int./Div.	L	T					
41. (ii) Vanguard REIT Viper	A	Dividend	K	T					
42. (iii) Pimco Foreign Bond Fund USD Hedged	A	Dividend	J	T					
43. (iv) Hussman Strategic Growth Fund	A	Distribution			Sold	02/18/13	J	A	
44. (v) I Shares MSCI EAFE	A	Dividend			Sold	02/12/13	K	C	
45. (vi) Vanguard Emerging Market ETF	A	Dividend	J	T					
46. (vii) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T					
47. (viii) Dreyfus Emerging Mkts Debt Fund	A	Dividend	J	T					
48. (ix) AMEX Consumer SPDR	A	Dividend	J	T					
49. (x) Consumer Staples Sec SPDR	A	Dividend	J	T					
50. (xi) AMEX Energy Select SPDR	A	Dividend	J	T					
51. (xii) AMEX Financial Select SPDR	A	Dividend	J	T					

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52. (xiii) AMEX Health Care SPDR	A	Dividend	J	T					
53. (xiv) AMEX Industrial SPDR	A	Dividend	J	T					
54. (xv) AMEX Technology SPDR	A	Dividend	J	T					
55. (xvi) AMEX Materials SPDR	A	Dividend	J	T					
56. (xvii) 1 Shares S&P Midcap 400 Growth	A	Dividend	J	T					
57. (xviii) 1 Shares S&P Midcap 400 Value	A	Dividend	J	T					
58. (xix) 1 Shares TR Small Cap 600 Index	A	Dividend	J	T					
59. (xx) Diamond Hill Long-Short Fund C1.1	A	Dividend	J	T					
60. (xxi) Merger FD SH BEN INT	A	Dividend	J	T					
61. (xxii) Credit Suisse Commodity Return Strat. Fund	A	Dividend	J	T					
62. (xxiii) Driehaus Active Income Fund	A	Dividend	J	T					
63. (xxiv) Gateway Fund-Y	A	Dividend			Sold	07/16/13	J	A	
64. (xxv) Fidelity Advisors Emerging Markets Income Fund Class I	A	Dividend	J	T	Buy	10/18/13	J		
65. (xxvi) Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Buy	02/12/13	K		
66. (xxvii) ASG Global Alternatives Fund Class Y	A	Dividend	J	T	Buy	07/18/13	J		
67. (xxviii) Eaton Global Macro Absolute Return Fund Class - 1#	A	Dividend	J	T	Buy	07/18/13	J		
68. (xxix) 1 Path Dow Jones -- UBS Commodity Index Total Return ETN	A	Dividend	J	T	Buy	09/30/13	J		

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69. (b) Real Property in Clifton, AZ (trustee unknown)		None	J	W					

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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/ **Ferdinand F. Fernandez**

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