

**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) BERZON, MARSHA S.	2. Court or Organization U.S. CA NINTH CIRCUIT	3. Date of Report 05/15/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	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 95 SEVENTH STREET P.O. BOX 1939393 SAN FRANCISCO, CA 94119-3939		
IMPORTANT NOTES: <i>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>		

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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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	UC HASTINGS COLLEGE OF THE LAW - TEACHING	\$3,060.00
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. 2012	SELF-EMPLOYED ATTORNEY
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.	FORDHAM UNIVERSITY	02/29/2012-03/04/2012	NEW YORK, NY	EDUCATIONAL ACTIVITY	TRAVEL, LODGING, MEALS
2.	UNIVERSITY OF TENNESSEE	10/17/2012-10/19/2012	KNOXVILLE, TN	EDUCATIONAL ACTIVITY	TRAVEL, LODGING, MEALS
3.	AMERICAN UNIVERSITY WASHINGTON COLLEGE OF LAW	10/19/2012-10/21/2012	WASHINGTON, D.C.	EDUCATIONAL ACTIVITY	TRAVEL, LODGING, MEALS
4.	STATE BAR OF CALIFORNIA	11/02/2012-11/03/2012	NEWPORT BEACH, CA	PROFESSIONAL ASSOCIATION ACTIVITY	TRAVEL, LODGING, MEALS
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. BANK OF AMERICA ACCOUNTS	A	Interest	M	T					
2. CITIBANK ACCOUNTS	B	Interest	O	T					
3. FIRST REPUBLIC BANK ACCOUNTS	B	Interest	O	T					
4. STERLING BANK & TRUST ACCOUNTS	C	Interest	N	T					
5. UNION BANK ACCOUNTS	B	Interest	N	T					
6. US BANK ACCOUNTS	A	Interest	O	T					
7. COCA COLA COMPANY - COMMON STOCK	B	Dividend	L	T					
8. COMCAST CORP NEW CL A - COMMON STOCK	A	Dividend	J	T					
9. CORNING INC - COMMON STOCK	B	Dividend	L	T					
10. FRONTIER COMMUNICATIONS - COMMON STOCK	A	Dividend	J	T					
11. LSI CORPORATION - COMMON STOCK		None	J	T					
12. NSTAR - COMMON STOCK *1	A	Dividend							
13. NORTHEAST UTILITIES - COMMON STOCK (FORMERLY NSTAR) *1	A	Dividend	J	T					
14. PEPSICO INCORPORATED - COMMON STOCK	A	Dividend	K	T					
15. PUB SVC ENT GROUP INC - COMMON STOCK	A	Dividend	J	T					
16. VERIZON COMMUNICATIONS - COMMON STOCK	A	Dividend	K	T					
17. VODAFONE GROUP NEW ADR F - COMMON STOCK	A	Dividend	J	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 \$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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	(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. DREYFUS ACTIVE MIDCAP FD	B	Dividend	M	T					
19. DREYFUS APPRECIATION FUND	A	Dividend	K	T					
20. DREYFUS OPPORTUNISTIC		None	L	T					
21. RS MID CAP OPPORTUNITIES FUND		None	O	T					
22. SCHWAB PREMIER EQUITY SELECT SHARES *2	A	Dividend							
23. SCHWAB CORE EQUITY FUND (FORMERLY SCHWAB PREM EQ SELECT) *2	B	Dividend	M	T					
24. TANAKA GROWTH FUND CL R		None	K	T					
25. SCHWAB CA MUNI MONEY FUND (SWEEP)	A	Dividend	L	T					
26. SCHWAB CA MUNI MONEY FUND (NON-SWEEP)	A	Dividend	L	T					
27. FIDELITY CA AMT TAX FREE MMKT INST CLASS	A	Dividend	P1	T					
28. VERISIGHT RETIREMENT ACCT. (FORMER. ACCOUNTTRAX) *3	E	Dividend	O	T					
29. -AMERICAN FUNDS FUNDAMENTAL INVESTORS									
30. -FIDELITY SPARTAN 500 INDEX FUND					Buy (add'l)	04/10/12	J		
31. -FIDELITY SPARTAN 500 INDEX FUND *4					Sold	08/28/12	M		
32. -VANGUARD 500 INDEX FUND (SIG) *4					Buy	08/28/12	M		
33. -VANGUARD TARGET RETIREMENT INCOME FUND (INV)					Buy (add'l)	04/10/12	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	
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	(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)

34. -VANGUARD TARGET RETIREMENT 2015 FUND (INV)					Buy (add'l)	04/10/12	J		
35. -VANGUARD TARGET RETIREMENT 2025 FUND (INV)					Buy (add'l)	04/10/12	J		
36. IRA #1 (ACCOUNT)	C	Dividend	M	T					
37. -AMCAP FUND - CLASS A									
38. -WASHINGTON MUTUAL INVESTORS FUND - CLASS A									
39. IRA #2	E	Dividend	P1	T					
40. -AMERICAN FUNDS - EUROPACIFIC GROWTH FUND - CL A									
41. -AMERICAN FUNDS - THE GROWTH FUND OF AMERICA - CL A									
42. -AMERICAN FUNDS - NEW PERSPECTIVE FUND - CL A									
43. -AMERICAN FUNDS - CAPITAL WORLD GROWTH AND INCOME FUND - CL									
44. -AMERICAN FUNDS - FUNDAMENTAL INVESTORS - CL A									
45. -AMERICAN FUNDS - THE INVESTMENT COMPANY OF AMERICA - CL A									
46. -AMERICAN FUNDS - CAPITAL INCOME BUILDER - A									
47. -AMERICAN FUNDS - THE INCOME FUND OF AMERICA - CL A									
48. -AMERICAN FUNDS - AMERICAN BALANCED FUND - CL A									
49. CAPITAL ACCOUNT IN LAW FIRM PARTNERSHIP *5	A	Interest	K	U					

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

*1 NSTAR MERGED WITH NORTHEAST UTILITIES ON APRIL 10, 2012.

*2 SCHWAB PREMIER EQUITY SELECT SHARES MERGED WITH SCHWAB CORE EQUITY FUND ON SEPTEMBER 7, 2012.

*3 ACCOUNTTRAX CHANGED ITS NAME TO VERISIGHT IN 2012.

*4 TRANSACTION OCCURRED DUE TO CHANGE IN THE MENU OF FUNDS OFFERED BY THE PLAN.

*5 THE EARNINGS REPORTED IN PART VII REPRESENT THE [REDACTED] DISTRIBUTIVE SHARE OF PARTNERSHIP INTEREST INCOME.

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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/ MARSHA S. BERZON**

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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