

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 03/02/2016
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 01/01/2015 to 12/31/2015
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.	

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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. Aspen Institute 7/6/15-7/12/15 Aspen, CO Educational Seminar Travel, food, and lodging

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.			
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.	Nationstar Mortgage, LLC	Mortgage on rental property, Agoura, CA	None
2.	City National Bank	Mortgage on rental property, Agoura, CA	L
3.	Citimortgage	Mortgage on rental property, West Los Angeles, CA	L
4.	Union Bank	Mortgage on rental property, West Los Angeles, CA	M
5.	Union Bank	Mortgage on rental property, Santa Monica, CA	O

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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. Trust #1 (H)									
2. - Rental property, Agoura, CA	E	Rent	O	V					
3. - 50% interest in rental property, Venice, CA	E	Rent	O	V					
4. - 50% interest in rental property, West Los Angeles, CA	E	Rent	N	V					
5. - 33% interest in rental property, Santa Monica, CA	E	Rent	O	V					
6. - Rental property, Los Angeles, CA	F	Rent	P1	V					
7. - Rental Property #2, Los Angeles, CA (Y)									
8. - CNR Calif Tax-Exempt Money Market Serv [REDACTED]	A	Interest	J	T					
9. - CNR Calif Tax-Exempt Bd Fd Serv [REDACTED]	C	Dividend	M	T	Sold (part)	04/06/15	L		
10.					Buy (add'l)	04/14/15	K		
11. - CNR Dividend & Income Fd CI N	B	Dividend	K	T	Buy (add'l)	02/11/15	J		
12.					Sold (part)	03/11/15	J	A	
13.					Buy (add'l)	04/06/15	K		
14.					Buy (add'l)	04/07/15	J		
15.					Buy (add'l)	04/14/15	J		
16. - CNR Emerging Markets Fund CI N [REDACTED]	A	Dividend	K	T	Sold (part)	03/10/15	J	A	
17.					Buy (add'l)	04/06/15	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 ~\$250,000.01 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	L ~\$50,001 - \$100,000 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 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.					Buy (add'l)	04/07/15	J		
19. - CNR Fixed Income Opportunities Fd. Cl N	C	Dividend	L	T	Buy (add'l)	02/11/15	J		
20.					Buy (add'l)	03/10/15	J		
21.					Buy (add'l)	04/06/15	J		
22.					Buy (add'l)	04/07/15	J		
23.					Buy (add'l)	04/15/15	J		
24. - CNR Muni High Income Fd	C	Dividend	L	T	Sold (part)	02/11/15	J	A	
25.					Buy (add'l)	03/10/15	J		
26.					Buy (add'l)	04/06/15	J		
27.					Buy (add'l)	04/07/15	J		
28.					Buy (add'l)	04/14/15	J		
29. - CNR US Core Equity Fd Ser	A	Dividend	M	T	Buy (add'l)	02/11/15	J		
30.					Sold (part)	03/10/15	J	A	
31.					Buy (add'l)	04/06/15	K		
32.					Buy (add'l)	04/07/15	J		
33. - iPath Bloomberg Commodity Index		None			Sold	01/30/15	J		
34. Pimco Commodity Plus Strats-Ins		None			Buy	01/28/15	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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	(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.					Buy (add'l)	02/11/15	J		
36.					Sold	04/06/15	J	A	
37. Third Avenue TR Real Estate Value Fund	A	Dividend	J	T	Buy	04/06/15	J		
38.					Buy (add'l)	04/07/15	J		
39. - Touchstone Small Cap Core Fund Y	A	Dividend	J	T	Sold (part)	03/10/15	J	A	
40.					Buy (add'l)	04/06/15	J		
41.					Buy (add'l)	04/07/15	J		
42. - Tweedy Browne Global Value Fd	A	Dividend	J	T	Sold (part)	02/11/15	J		
43.					Sold (part)	03/10/15	J	A	
44.					Buy (add'l)	04/06/15	J		
45. Voya Global Real Estate Fund	A	Dividend	J	T	Buy	04/06/15	J		
46.					Buy (add'l)	04/14/15	J		
47. IRA #1 (H)									
48. - CNR Prime MM Fd Serv	A	Interest	K	T					
49. - CNR Corporate Bd Fd Serv Cl	C	Dividend	M	T	Buy (add'l)	03/10/15	J		
50. - CNR Govt Bd Fd Serv Cl	A	Dividend	M	T	Buy (add'l)	03/10/15	J		
51. - CNR High Yield Bond Fund Serv	B	Dividend	K	T	Buy (add'l)	03/10/15	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	
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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52. - CNR US Core Equity Fd Ser [REDACTED]	A	Dividend	L	T	Buy (add'l)	01/15/15	J		
53.					Sold (part)	03/10/15	J	C	
54. - Eaton Vance FI Rate Adv Fd Cl 1	B	Dividend	K	T	Buy (add'l)	03/10/15	J		
55. - iPath Bloomberg Commodity Index		None			Sold	01/30/15	J		
56. - Market Vectors Emer H/Y Bd ETF	C	Dividend	K	T	Buy (add'l)	03/12/15	J		
57. Oppenheimer Dev Markets Cl 1 (X)	A	Dividend	J	T					
58. Pimco Commodity Plus Strat-Ins		None			Buy	01/28/15	J		
59.					Buy (add'l)	03/10/15	J		
60.					Sold	04/06/15	J	A	
61. - SPDR S&P Dividend ETF	A	Dividend	K	T	Sold (part)	03/12/15	J	A	
62. Third Avenue Real Estate Value [REDACTED]	A	Dividend	J	T	Buy	04/06/15	J		
63. - Touchstone Small Cap Core Fund Y	A	Dividend	J	T					
64. - Tweedy Browne Global Value Fd [REDACTED]	A	Dividend	J	T	Sold (part)	03/10/15	J		
65. - Voya Global Real Estate Fund	A	Dividend	J	T					
66. Brokerage Account #1 (H)									
67. Vanguard 500 Index Fund Inv	B	Dividend	L	T					
68. Vanguard Small Cap Index Fund Inv	B	Dividend	L	T					

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69. American Funds VCSP/College America 529A (H)									
70. - Growth Fund of America	A	Dividend	J	T	Sold (part)	12/07/15	J	A	
71. - The Investment Company of America	A	Dividend	J	T	Sold (part)	12/07/15	J	A	
72. - Washington Mutual Investors Fund	A	Dividend	J	T	Sold (part)	12/07/15	J	A	
73. - The Bond Fund of America	A	Dividend	J	T	Sold (part)	12/07/15	J	A	
74. Series EE U.S. Savings Bonds	A	Interest	J	T					
75. City National Bank (various accounts)	A	Interest	M	T					
76. Voya Flexible Premium Adjustable Universal Life Insurance	C	Interest	L	T					
77. Japanese American Community Credit Union (X)	A	Int./Div.	J	T					
78. Wine collection (Y)									

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

Part VI: line 5 of the prior report is no longer reportable

Part VI, lines 3 & 4: the value code represents 100% of the mortgage, but the reportable interest in the property is 50%

Part VII, lines 2-6: value method code V indicates a valuation derived from Zillow and/or Redfin

Part VII, line 3: income and value are included in this report at 50%, consistent with percentage of ownership of the property

Part VII, line 4: income and value are included in this report at 50%, consistent with percentage of ownership of the property

Part VII, line 5: income and value are included in this report at 33%, consistent with percentage of ownership of the property

Part VII, line 8: cash account

Part VII, line 48: cash account

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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/ **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
Suite 2-301
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Washington, D.C. 20544