

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) Alarcon, Arthur L.	2. Court or Organization Court of Appeals - 9th Circuit	3. Date of Report 03/15/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	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 U.S. Courthouse 312 No. Spring Street Los Angeles, CA 90012		
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. Director	Las Familias del Pueblo (a not-for-profit corporation)
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. 6/76	Employee's Retirement Benefit (Los Angeles County)
2. 6/76	Employee's Retirement Benefit (State of California)
3. 6/92	State Judge's Pension

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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	Retirement Benefits, State of California	\$2,621.00
2. 2012	Retirement Benefits, Los Angeles County	\$12,627.00
3. 2012	Retirement Benefits, State of California Judges	\$41,920.00
4. 2012	West Services Inc., book royalties	\$6,863.00

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	Retirement Plan of Citibank
2. 2012	Retirement Plan of Honeywell
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.				
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.)*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. Cal Western Life Ins Co	A	Interest	K	W					
2. U.S. Treasury Bills	A	Interest			Redeemed	07/31/12	K		
3. United Airline Stock		None	J	T					
4. Citibank Accounts	A	Interest	L	T					
5. Brokerage Account #1 (H)									
6. - TD Ameritrade MMDA Sweep Account	A	Interest	M	T					
7. - Citigroup Stock	A	Dividend	K	T					
8. - Coca Cola Stock	A	Dividend	J	T					
9. - Hewlett Packard Stock	A	Dividend	J	T					
10. - Microsoft Stock	A	Dividend	J	T					
11. - Proctor & Gamble Stock	A	Dividend	J	T					
12. - Nokia Stock	A	Dividend			Sold	07/16/12	J		
13. - IBM Stock	A	Dividend	K	T					
14. - Mastercard Inc Stock	A	Dividend	J	T					
15. Brokerage Account #2 (H)	H1								
16. - TD Ameritrade MMDA Sweep Account	A	Interest	L	T					
17. - Honeywell Stock	A	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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. - Cisco Stock	A	Dividend	J	T					
19. - Merck Stock	A	Dividend	J	T					
20. - EXXON Mobil Corp Stock	A	Dividend	J	T					
21. - Intel Stock	A	Dividend	J	T					
22. - Clorox Company Stock	A	Dividend	J	T					
23. - Citigroup Inc Stock	A	Dividend	J	T					
24. - GE Stock	A	Dividend	J	T					
25. - Vanguard International Growth Mutual Fund	A	Dividend	K	T					
26. - Neuberger Berman Guardian Mutual Fund	B	Dividend	K	T					
27. - Treasury Note	A	Interest	K	T					
28. Brokerage Account #3 (H)									
29. - Wells Fargo Bank Deposit Sweep Option	A	Interest	K	T					
30. - Ca St G/O Bond (NL2 acq 05/06/10)	A	Interest			Redeemed	02/01/12	K		
31. - Ca St Var Purp G/O Unltd Bond (3C0 acq 06/03/10)	A	Interest			Redeemed	03/01/12	K		
32. - Ca St Var Purp G/O Unltd Bond (H92 acq 05/04/10)	A	Interest			Redeemed	03/01/12	K		
33. - Ca St Var Purp G/O Unltd Bond (KT4 acq 05/03/10)	B	Interest			Redeemed	06/01/12	K		
34. - Ca St Econ Recov Ser A Bond (AX9 acq 06/04/10)	B	Interest			Redeemed	07/02/12	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 = \$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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☐ 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)

35. - Ca St Ref G/O Unltd Bond (F41 acq 06/07/10)	A	Interest			Redeemed	08/01/12	J		
36. - Ca St Var Purp Fsa Cr G/O Cus Bond (A32 acq 06/22/10)	B	Interest	K	T					
37. - Ca Stwide County Dev Prop 1A Bond (R58 acq 08/16/10)	B	Interest	K	T					
38. - Ca St Var Purp G/O Txbl Bond (SF7 acq 06/03/10)	C	Interest	K	T					
39. - Plainscapital Bank CD (VE6 acq 06/24/10)	A	Interest			Redeemed	07/02/12	L		
40. - Ford Motor Credit Co Global Notes (TZ6 acq 09/12/11)	D	Interest	L	T					
41. - Genl Motors Accept Corp Global Notes (SE1 acq 09/30/11)	B	Interest			Sold	08/01/12	M		
42. - Hewlett Packard Co Sr Unsecured (BL6 acq 12/19/11)	B	Interest	K	T					
43. - Ally Financial Corp Bond (AF7 acq 2/17/12)	C	Interest	M	T	Buy	02/17/12	K		
44.					Buy (add'l)	03/02/12	L		
45. - Int Steel Corp Bond (AB0 acq 8/28/12)	C	Interest	L	T	Buy	08/28/12	L		
46. - Citigroup Inc Sub Notes (CQ2 acq 7/12/12)	B	Interest	L	T	Buy	07/12/12	L		
47. - Citigroup Inc Sub Bonds (BW0 acq 7/11/12)	C	Interest	L	T	Buy	07/11/12	L		
48. - Telecom Italia Capital Corp Bond (AE8 acq 8/29/12)	B	Interest	K	T	Buy	08/29/12	K		
49. Brokerage Account #4 (H)									
50. - Wells Fargo Bank Deposit Sweep Option	A	Interest	K	T					
51. - Ca St Econ Recov Ser A Bond (LU3,LQ2, acq 4/23/09)	B	Interest			Redeemed	07/02/12	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 = \$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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52. - Ca Infra & Econ Dev Bk Rev Ser E Bond (34Z acq 08/13/10)	B	Interest			Redeemed	04/12/12	L		
53. - Ca St Cmnty Dev Auth Rev Prop 1A Bond (R58 acq 08/16/10)	A	Interest	K	T					
54. - Ca St G/O Unltd Bond (Z49 acq 11/09/10)	C	Interest	L	T					
55. - Ca St Econ Recov Ser A Bond (BC4 acq 12/10/10)	B	Interest	K	T					
56. - Ca St G/O Unltd Bond (PU0 acq 03/09/11)	B	Interest	K	T					
57. - Ca St G/O Unltd Bond (N91 acq 03/17/11)	B	Interest	K	T					
58. - Ford Motor Credit Co Global Notes (TZ6 acq 11/23/11)	D	Interest	M	T					
59. - GMAC Inc Corp Bond (BZ5 acq 1/30/12)	C	Interest	K	T	Buy	01/30/12	K		
60. - Morgan Stanley Corp Bond (AD1 acq 4/20/12)	B	Interest	L	T	Buy	04/20/12	L		
61. - Intl Lease Finance Corp Bond (B49 acq 7/13/12)	B	Interest	L	T	Buy	07/13/12	L		
62. - Deutsche Bank Finl LLC Notes (AA7 acq 7/16/12)	A	Interest	K	T	Buy	07/16/12	K		
63. Brokerage Account #5 (managed asset account) (H)									
64. - Ameritrade Money Market Sweep Act (X)	A	Interest	J	T					
65. - Ishares Barclays Inter Gov Cre Bd (GVI) (612)	A	Dividend	J	T					
66. - Ishares Barclays MBS Bond Fund (MBB) (588)	A	Dividend	J	T					
67. - Ishares Barclays Tips Bond Fund (TIP) (176)	A	Dividend	J	T					
68. - Ishares Barclays 1-3 Yr Trs Bd (SHY) (457)	A	Dividend	J	T					

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69. - Ishares Msci Eafe Index Fund (EFA) (465)	A	Dividend			Sold	06/12/12	J		
70. - Ishares S&P/Citigroup Intl Treas Fund (IGOV) (117)		None			Sold	01/09/12	J		
71. - Vanguard Growth ETF Msci US Prime Mkt (VUG) (736)	A	Dividend	J	T					
72. - Vanguard Value ETF Msci US Prime Mkt (VTV) (744)	A	Dividend	J	T					

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

- 1) Part VII: Differences between 2011 and 2012 for entries in Column B (Income) and C (Gross Value) are due to market fluctuation in stock prices and interest/dividends.
- 2) Part VII: Column D(4) intentionally left blank for entries 12, 41, 69, and 70, because there was no "gain."
- 3) Part VII: Column B(1) intentionally left blank for entries 3 and 70, because there was no 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/ **Arthur L. Alarcon**

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