

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) REINHARDT, STEPHEN R.	2. Court or Organization US COURT OF APPEALS - 9TH CIRCUIT	3. Date of Report 08/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US 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 312 NORTH SPRING STREET ROOM 1747 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	TRUST #1 - [REDACTED] - EXEMPT C
2.	TRUSTEE	TRUST #2 - [REDACTED] - NON-EXEMPT C
3.	TRUSTEE	TRUST #3 - [REDACTED] LIVING TRUST DTD 4/21/95
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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. 2012	ACLU FOUNDATION OF SO CALIFORNIA - CONSULTING FEES
2. 2012	AMERICAN CIVIL LIBERTIES UNION INC OF SO CALIFORNIA -CONSULTING FEES
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. NEW YORK UNIVERSITY - MOOT COURT	02/24/12 - 02/27/12	NEW YORK, NY	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
2. SANTA CLARA UNIVERSITY - MOOT COURT	04/05/12 - 04/06/12	SANTA CLARA, CA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
3. AMERICAN CONSTITUTION SOCIETY - ANNUAL CONVENTION	06/12/12 - 06/16/12	WASHINGTON D.C.	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
4. HARVARD LAW SCHOOL	11/13/12 - 11/15/12	CAMBRIDGE, MA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

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08/05/2013

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. BROKER ACCT #1 - STONNINGTON									
2. - FEDERATED CLOVER VALUE FD CL C 1	A	Dividend	K	T	Sold (part)	01/05/12	J	A	
3. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 1	A	Interest	J	T					
4. CITY NATIONAL BANK CHECKING		None	J	T					
5. UNION BANK CHECKING		None	J	T					
6. JOHN HANCOCK LIFE INS CO. - ANNUITY	D	Int./Div.	L	W					
7. SYMETRA LIFE INS CO - ANNUITY	C	Int./Div.	K	T					
8. IRA - ACCT #7 - STONNINGTON	B	Int./Div.	L	T					
9. - PERSHING GOVT MONEY MARKET FUNDS 7									
10. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Buy (add'l)	03/13/12	J		
11. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Buy (add'l)	10/04/12	J		
12. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Sold (part)	10/18/12	J	A	
13. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	03/13/12	J	A	
14. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	10/03/12	J	A	
15. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	10/18/12	J	A	
16. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Sold (part)	10/03/12	J	A	
17. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Sold (part)	10/18/12	J	A	

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 18

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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. - MSIF INC INTERNATIONAL FUND 7					Sold (part)	03/13/12	J	A	
19. - MSIF INC INTERNATIONAL FUND 7					Sold (part)	10/03/12	J	A	
20. - MSIF INC INTERNATIONAL FUND 7					Sold (part)	10/18/12	J	A	
21. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND 7					Buy (add'l)	03/13/12	J		
22. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND 7					Sold (part)	10/03/12	J	A	
23. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND 7					Sold (part)	10/18/12	J	A	
24. - ISHARES TR BARCLAYS TIPS BD FD 7					Buy (add'l)	10/03/12	J		
25. - ISHARES TR BARCLAYS TIPS BD FD 7					Buy (add'l)	10/03/12	J		
26. - ISHARES TR BARCLAYS TIPS BD FD 7					Sold (part)	10/18/12	J	A	
27. - GATEWAY FUND CLASS Y 7					Buy (add'l)	03/13/12	J		
28. - GATEWAY FUND CLASS Y 7					Sold (part)	10/03/12	J	A	
29. - GATEWAY FUND CLASS Y 7					Sold (part)	10/18/12	J	A	
30. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy (add'l)	03/13/12	J		
31. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy (add'l)	10/03/12	J		
32. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Sold (part)	10/18/12	J	A	
33. - DRIEHAUS ACTIVE INCOME FUND 7					Buy (add'l)	10/03/12	J		
34. - DRIEHAUS ACTIVE INCOME FUND 7					Sold (part)	03/13/12	J	A	

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	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 18

Name of Person Reporting

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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. - DRIEHAUS ACTIVE INCOME FUND 7					Sold (part)	10/18/12	J	A	
36. - DRIEHAUS SELECT CREDIT FUND 7					Buy (add'l)	10/03/12	J		
37. - DRIEHAUS SELECT CREDIT FUND 7					Sold (part)	03/13/12	J	A	
38. - DRIEHAUS SELECT CREDIT FUND 7					Sold (part)	10/18/12	J	A	
39. - AQR DIVERSIFIED ARBITRAGE FUND 7					Buy (add'l)	03/14/12	J		
40. - AQR DIVERSIFIED ARBITRAGE FUND 7					Sold (part)	10/18/12	J	A	
41. - WASATCH LONG/SHORT FUND 7					Sold (part)	10/18/12	J	A	
42. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	03/13/12	J	A	
43. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	10/03/12	J	A	
44. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	10/18/12	J	A	
45. - TCW EMERGING MARKETS FUND 7					Sold (part)	03/13/12	J	A	
46. - TCW EMERGING MARKETS FUND 7					Sold (part)	10/03/12	J	A	
47. - VIRTUS EMERGING MARKETS FUND 7					Buy	03/13/12	J		
48. - VIRTUS EMERGING MARKETS FUND 7					Sold (part)	10/18/12	J	A	
49. - AMERICAN CENTURY MID CAP VALUE FUND 7					Buy	03/13/12	J		
50. - AMERICAN CENTURY MID CAP VALUE FUND 7					Sold (part)	10/18/12	J	A	
51. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 7					Buy	03/13/12	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
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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 7 of 18

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52. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 7					Sold (part)	10/18/12	J	A	
53. DEFERRED SALARY PLAN/TRUST - ACLU - ACCT #8 - M/LYNCH	D	Distribution	N	T					See Note 1
54. BROKER ACCT #3 - STONNINGTON									
55. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 3	A	Int./Div.	J	T					
56. - AQR DIVERSIFIED ARBITRAGE FUND 3	A	Dividend	J	T	Buy (add'l)	03/14/12	J		
57. - AQR DIVERSIFIED ARBITRAGE FUND 3					Buy (add'l)	10/03/12	J		
58. - DRIEHAUS SELECT CREDIT FUND 3	A	Dividend	K	T	Buy (add'l)	10/03/12	J		
59. - DRIEHAUS SELECT CREDIT FUND 3					Sold (part)	03/13/12	J	A	
60. - DRIEHAUS ACTIVE INCOME FUND 3	A	Dividend	K	T	Buy (add'l)	10/03/12	J		
61. - DRIEHAUS ACTIVE INCOME FUND 3					Sold (part)	03/13/12	J	A	
62. - GATEWAY FUND CLASS Y 3	A	Dividend	K	T	Buy (add'l)	03/13/12	J		
63. - GATEWAY FUND CLASS Y 3					Sold (part)	10/03/12	J	A	
64. - MSIF INC INTERNATIONAL FUND 3	A	Dividend	K	T	Sold (part)	03/13/12	J	A	
65. - MSIF INC INTERNATIONAL FUND 3					Sold (part)	10/03/12	J	A	
66. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3	A	Interest	J	T	Buy (add'l)	03/13/12	J		
67. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3					Sold (part)	10/03/12	J	A	
68. - PRINCETON FUTURES STRATEGY FUND CLASS 3	A	Dividend	K	T	Buy (add'l)	03/13/12	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 \$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 8 of 18

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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				
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69. - PRINCETON FUTURES STRATEGY FUND CLASS 3					Buy (add'l)	10/03/12	J		
70. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3	A	Dividend	J	T	Sold (part)	03/13/12	J	B	
71. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3					Sold (part)	10/03/12	J	A	
72. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3	A	Dividend	J	T	Buy (add'l)	03/13/12	J		
73. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3					Sold (part)	10/03/12	J	A	
74. - TCW EMERGING MARKETS FUND 3	A	Dividend	J	T	Sold (part)	03/13/12	J	A	
75. - TCW EMERGING MARKETS FUND 3					Sold (part)	10/03/12	J	A	
76. - THE TAX EXEMPT BOND FUND OF AMERICA 3	A	Interest	K	T	Buy (add'l)	03/13/12	J		
77. - THE TAX EXEMPT BOND FUND OF AMERICA 3					Buy (add'l)	10/03/12	J		
78. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3	A	Interest	K	T	Buy (add'l)	03/13/12	J		
79. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3					Buy (add'l)	10/04/12	J		
80. - WASATCH LONG/SHORT FUND 3	A	Dividend	K	T	Buy (add'l)	03/13/12	J		
81. - WASATCH LONG/SHORT FUND 3					Buy (add'l)	10/03/12	J		
82. - ISHARES TR BARCLAYS TIPS BD FD 3	A	Dividend	J	T	Buy (add'l)	03/13/12	J		
83. - ISHARES TR BARCLAYS TIPS BD FD 3					Buy (add'l)	10/03/12	J		
84. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3	A	Dividend	J	T	Buy (add'l)	03/13/12	J		
85. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3					Sold (part)	10/03/12	J	A	

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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Page 9 of 18

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86. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3	A	Dividend	K	T	Sold (part)	03/13/12	J	A	
87. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3					Sold (part)	10/03/12	J	A	
88. - VIRTUS EMERGING MARKETS FUND 3	A	Dividend	J	T	Buy	03/13/12	J		
89. - VIRTUS EMERGING MARKETS FUND 3					Buy (add'l)	10/03/12	J		
90. - AMERICAN CENTURY MID CAP VALUE FUND 3	A	Dividend	J	T	Buy	03/13/12	J		
91. - AMERICAN CENTURY MID CAP VALUE FUND 3					Sold (part)	10/03/12	J	A	
92. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 3	A	Dividend	K	T	Buy	03/13/12	J		
93. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 3					Sold (part)	10/03/12	J	A	
94. BANK OF THE WEST CHECKING #	A	Interest	J	T					
95. CHASE CHECKING		None	J	T					
96. CHASE SAVINGS	A	Interest	J	T					
97. NATIONWIDE ACHIEVER ANNUITY		None	N	T					
98. TRUST #1 - EXEMPT C	F	Int./Div.	P1	W					See note 2
99. - FDIC LIQUID INSURED DEPOSITS									See Note 3
100. - AQR DIVERSIFIED ARBITRAGE FUND					Buy (add'l)	03/13/12	J		
101. - AQR DIVERSIFIED ARBITRAGE FUND					Buy (add'l)	09/12/12	J		
102. - AQR DIVERSIFIED ARBITRAGE FUND					Sold (part)	09/27/12	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
103. - DRIEHAUS SELECT CREDIT FUND [REDACTED]					Buy (add'l)	09/12/12	J		
104. - DRIEHAUS SELECT CREDIT FUND [REDACTED]					Sold (part)	03/13/12	J	A	
105. - DRIEHAUS SELECT CREDIT FUND [REDACTED]					Sold (part)	09/27/12	J	A	
106. - DRIEHAUS ACTIVE INCOME FUND [REDACTED]					Sold (part)	03/13/12	J	A	
107. - DRIEHAUS ACTIVE INCOME FUND [REDACTED]					Sold (part)	09/27/12	J	A	
108. - GATEWAY FUND CLASS Y [REDACTED]					Buy (add'l)	03/13/12	J		
109. - GATEWAY FUND CLASS Y [REDACTED]					Sold (part)	09/12/12	J	A	
110. - GATEWAY FUND CLASS Y [REDACTED]					Sold (part)	09/27/12	J	A	
111. - ISHARES TR BARCLAYS TIPS BD FD [REDACTED]					Buy (add'l)	03/13/12	J		
112. - ISHARES TR BARCLAYS TIPS BD FD [REDACTED]					Sold (part)	09/12/12	J	A	
113. - ISHARES TR BARCLAYS TIPS BD FD [REDACTED]					Sold (part)	09/27/12	J	A	
114. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND [REDACTED]					Buy (add'l)	03/13/12	J		
115. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND [REDACTED]					Sold (part)	09/27/12	J	A	
116. - MSIF INC INTERNATIONAL FUND [REDACTED]					Sold (part)	03/13/12	L	A	
117. - MSIF INC INTERNATIONAL FUND [REDACTED]					Sold (part)	09/12/12	J	A	
118. - MSIF INC INTERNATIONAL FUND [REDACTED]					Sold (part)	09/27/12	J	A	
119. - PRINCETON FUTURES STRATEGY FUND CLASS [REDACTED]					Buy (add'l)	03/13/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 11 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
120. - PRINCETON FUTURES STRATEGY FUND CLASS [REDACTED]					Sold (part)	09/12/12	J	A	
121. - PRINCETON FUTURES STRATEGY FUND CLASS [REDACTED]					Sold (part)	09/27/12	J	A	
122. - NUVEEN LIMITED TERM MUNI BOND CLASS A [REDACTED]					Buy (add'l)	03/13/12	J		
123. - NUVEEN LIMITED TERM MUNI BOND CLASS A [REDACTED]					Sold (part)	09/12/12	J	A	
124. - NUVEEN LIMITED TERM MUNI BOND CLASS A [REDACTED]					Sold (part)	09/27/12	J	A	
125. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND [REDACTED]					Sold (part)	03/13/12	L	D	
126. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND [REDACTED]					Sold (part)	09/12/12	J	B	
127. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND [REDACTED]					Sold (part)	09/27/12	J	A	
128. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND [REDACTED]					Buy (add'l)	03/13/12	J		
129. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND [REDACTED]					Sold (part)	09/12/12	J	A	
130. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND [REDACTED]					Sold (part)	09/27/12	J	A	
131. - TCW EMERGING MARKETS FUND [REDACTED]					Sold (part)	03/13/12	J	A	
132. - TCW EMERGING MARKETS FUND [REDACTED]					Sold (part)	09/12/12	J	A	
133. - TCW EMERGING MARKETS FUND [REDACTED]					Sold (part)	09/27/12	J	A	
134. - THE TAX EXEMPT BOND FUND OF AMERICA [REDACTED]					Buy (add'l)	03/13/12	J		
135. - THE TAX EXEMPT BOND FUND OF AMERICA [REDACTED]					Sold (part)	09/12/12	J	A	
136. - THE TAX EXEMPT BOND FUND OF AMERICA [REDACTED]					Sold (part)	09/27/12	J	A	

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 12 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
137. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	03/13/12	L	D	
138. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	09/12/12	J	A	
139. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	09/27/12	J	A	
140. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Buy (add'l)	03/13/12	J		
141. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Sold (part)	09/12/12	J	A	
142. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Sold (part)	09/27/12	J	A	
143. - WASATCH LONG/SHORT FUND					Sold (part)	03/13/12	J	A	
144. - WASATCH LONG/SHORT FUND					Sold (part)	09/12/12	J	A	
145. - WASATCH LONG/SHORT FUND					Sold (part)	09/27/12	J	A	
146. - VIRTUS EMERGING MARKETS FUND					Buy	03/13/12	K		
147. - VIRTUS EMERGING MARKETS FUND					Buy (add'l)	09/12/12	K		
148. - VIRTUS EMERGING MARKETS FUND					Sold (part)	09/27/12	K	A	
149. - AMERICAN CENTURY MID CAP VALUE FUND					Buy	03/13/12	K		
150. - AMERICAN CENTURY MID CAP VALUE FUND					Sold (part)	09/12/12	J	A	
151. - AMERICAN CENTURY MID CAP VALUE FUND					Sold (part)	09/27/12	J	A	
152. - SCHWAB FUNDMNTL U.S. LARGE CO FUND					Buy	03/13/12	L		
153. - SCHWAB FUNDMNTL U.S. LARGE CO FUND					Sold (part)	09/12/12	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
154. - SCHWAB FUNDMNTL U.S. LARGE CO FUND					Sold (part)	09/27/12	J	A	
155. - ACACIA PARTNERS, L.P.									
156. - POETIC LICENSE PARTNERS, LP									See Note 2
157. - CITY NATIONAL BANK CHECKING									
158. TRUST #2 - NON-EXEMPT C	A	Int./Div.	L	T					
159. - FDIC LIQUID INSURED DEPOSITS									
160. - CITY NATIONAL BANK CHECKING									
161. TRUST #3 - LVG TRUST	D	Int./Div.	N	T					
162. - FDIC LIQUID INSURED DEPOSITS									
163. - AQR DIVERSIFIED ARBITRAGE FUND					Buy (add'l)	03/13/12	J		
164. - AQR DIVERSIFIED ARBITRAGE FUND					Sold (part)	08/13/12	J	A	
165. - DRIEHAUS SELECT CREDIT FUND					Buy (add'l)	10/03/12	J		
166. - DRIEHAUS SELECT CREDIT FUND					Sold (part)	03/13/12	J	A	
167. - DRIEHAUS SELECT CREDIT FUND					Sold (part)	08/13/12	J	A	
168. - DRIEHAUS ACTIVE INCOME FUND					Buy (add'l)	10/03/12	J		
169. - DRIEHAUS ACTIVE INCOME FUND					Sold (part)	03/13/12	J	A	
170. - DRIEHAUS ACTIVE INCOME FUND					Sold (part)	08/13/12	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
171. - GATEWAY FUND CLASS Y					Buy (add'l)	03/13/12	J		
172. - GATEWAY FUND CLASS Y					Buy (add'l)	10/03/12	J		
173. - GATEWAY FUND CLASS Y					Sold (part)	08/13/12	J	A	
174. - ISHARES TR BARCLAYS TIPS BD FD					Buy (add'l)	03/13/12	J		
175. - ISHARES TR BARCLAYS TIPS BD FD					Buy (add'l)	10/03/12	J		
176. - ISHARES TR BARCLAYS TIPS BD FD					Sold (part)	08/13/12	J	A	
177. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND					Buy (add'l)	03/13/12	J		
178. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND					Sold (part)	08/13/12	J	A	
179. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND					Sold (part)	10/03/12	J	A	
180. - MSIF INC INTERNATIONAL FUND					Buy (add'l)	10/03/12	J		
181. - MSIF INC INTERNATIONAL FUND					Sold (part)	03/13/12	J	A	
182. - MSIF INC INTERNATIONAL FUND					Sold (part)	08/13/12	J	A	
183. - PRINCETON FUTURES STRATEGY FUND CLASS					Buy (add'l)	03/13/12	J		
184. - PRINCETON FUTURES STRATEGY FUND CLASS					Buy (add'l)	10/03/12	J		
185. - PRINCETON FUTURES STRATEGY FUND CLASS					Sold (part)	08/13/12	J	A	
186. - NUVEEN LIMITED TERM MUNI BOND CLASS A					Buy (add'l)	03/13/12	J		
187. - NUVEEN LIMITED TERM MUNI BOND CLASS A					Sold (part)	08/13/12	J	A	

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 15 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
188. - NUVEEN LIMITED TERM MUNI BOND CLASS A					Sold (part)	10/03/12	J	A	
189. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND					Sold (part)	03/13/12	J	B	
190. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND					Sold (part)	08/13/12	J	A	
191. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND					Sold (part)	10/03/12	J	A	
192. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND					Buy (add'l)	03/13/12	J		
193. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND					Sold (part)	08/13/12	J	A	
194. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND					Sold (part)	10/03/12	J	A	
195. - TCW EMERGING MARKETS FUND					Sold (part)	03/13/12	J	A	
196. - TCW EMERGING MARKETS FUND					Sold (part)	08/13/12	J	A	
197. - TCW EMERGING MARKETS FUND					Sold (part)	10/03/12	J	A	
198. - THE TAX EXEMPT BOND FUND OF AMERICA					Buy (add'l)	10/03/12	J		
199. - THE TAX EXEMPT BOND FUND OF AMERICA					Sold (part)	08/13/12	J	A	
200. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Buy (add'l)	10/03/12	J		
201. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	03/13/12	J	B	
202. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	08/13/12	J	A	
203. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Buy (add'l)	03/13/12	J		
204. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Buy (add'l)	10/03/12	J		

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	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 16 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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)
205. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND [REDACTED]					Sold (part)	08/13/12	J	A	
206. - WASATCH LONG/SHORT FUND [REDACTED]					Buy (add'l)	03/13/12	J		
207. - WASATCH LONG/SHORT FUND [REDACTED]					Buy (add'l)	10/03/12	J		
208. - WASATCH LONG/SHORT FUND [REDACTED]					Sold (part)	08/13/12	J	A	
209. - VIRTUS EMERGING MARKETS FUND [REDACTED]					Buy	03/13/12	J		
210. - VIRTUS EMERGING MARKETS FUND [REDACTED]					Buy (add'l)	10/03/12	J		
211. - VIRTUS EMERGING MARKETS FUND [REDACTED]					Sold (part)	08/13/12	J	A	
212. - AMERICAN CENTURY MID CAP VALUE FUND [REDACTED]					Buy	03/13/12	J		
213. - AMERICAN CENTURY MID CAP VALUE FUND [REDACTED]					Sold (part)	08/13/12	J	A	
214. - SCHWAB FUNDMNTL U.S. LARGE CO FUND [REDACTED]					Buy	03/13/12	K		
215. - SCHWAB FUNDMNTL U.S. LARGE CO FUND [REDACTED]					Sold (part)	08/13/12	J	A	
216. - SCHWAB FUNDMNTL U.S. LARGE CO FUND [REDACTED]					Sold (part)	10/03/12	J	A	
217. - CITY NATIONAL BANK CHECKING [REDACTED]									

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	

FINANCIAL DISCLOSURE REPORT

Page 17 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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

NOTE 1: Part VII, lines 53 - This account is a deferred salary plan, held by Merrill Lynch as trustee, sponsored by [REDACTED] former employer, the ACLU. In past disclosure reports, this account was erroneously presented. This asset is on the books of the ACLU. [REDACTED] has no control over purchases or sales within the account. By the terms of the plan, [REDACTED] receives one annual payment of \$15,000 beginning in 2011. This account now properly presents only as one line item, line 53 of Part VII of the 2012 disclosure report. Regarding the prior year 2011 disclosure report, the assets reflected on lines 88 through 111 of that report were erroneously reflected. Similar line items will not appear on or be carried over to the 2012 disclosure report.

NOTE 2: Part VII, lines 98 and 156 - We are still waiting for the year 2012 K-1 relating to the Poetic License Partners, LP partnership on line 156. As a result, both the income and gross value codes in columns B and C for the Trust #1 Exempt C on line 98 have been estimated. If necessary, an amended disclosure report will be filed upon our receipt of the K-1.

NOTE 3: Part VII, line 99 - This item, FDIC Liquid Insured Deposits [REDACTED], was reflected on the prior year 2011 disclosure report on line 214 of that report. It was erroneously shown as redeemed in the 2011 report, column D (1). It should have been shown as partially redeemed on the 2011 report.

FINANCIAL DISCLOSURE REPORT

Page 18 of 18

Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/05/2013

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/ STEPHEN R. REINHARDT**

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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Washington, D.C. 20544