

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) FISHER, RAYMOND C.	2. Court or Organization U.S. COURT OF APPEALS - NINTH CIRCUIT	3. Date of Report 05/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - SENIOR	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. COURT OF APPEALS - 9th CIRCUIT 125 S. GRAND AVE. #400 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. Member, Board of Directors	Western Justice Center (nonprofit), Pasadena, CA
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.)*

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. 2016

CA State Teachers Retirement System - Pension

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. New York University School
of Law

Feb. 27-29, 2016

New York, NY

Immigration Moot Court
Competition

Transportation, meals, 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.		
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, NA RASP	A	Interest	M	T					
2. CD EVERBANK 0.50% 2/26/15	A	Interest			Closed	02/26/16	L		
3. CD GOLDMAN SACHS BK 0.70% 9/06/16	A	Interest			Closed	09/16/16	L		
4. CD GOLDMAN SACHS BK USA 0.95% 3/6/17	A	Interest			Closed	10/17/16	L		
5. BLACKROCK GLOBAL ALLOC CL A		None			Buy (add'l)	01/21/16	J		
6.					Sold	10/14/16	L		
7. CHIRON CAPITAL ALLOCATION FUND INSTL CL	A	Dividend	M	T	Buy	10/4/16	L		
8. CLEARBRIDGE APPREC FUND		None			Sold	01/22/16	M		
9. COLUMBIA DIV INCOME	C	Dividend	M	T	Buy	01/21/16	J		
10.					Sold (part)	07/05/16	K	D	
11. FEDERATED KAUFMAN LG CAP		None			Sold	01/22/16	M		
12. FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL	C	Dividend	M	T	Buy	01/21/16	M		
13.					Sold (part)	07/05/16	K	C	
14. FRANKLIN MUT GLOBAL DISC FD	C	Dividend	M	T	Buy	01/21/16	M		
15.					Sold (part)	07/05/16	J		
16. J. HANCOCK DISCIPLINED VALUE	B	Dividend	L	T	Buy (add'l)	01/21/16	J		
17.					Sold (part)	07/05/16	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 H = \$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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	(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. LOOMIS SAYLES LTD TERM GOV & AGENCY FD CL Y	C	Dividend	M	T	Buy	01/21/16	L		
19.					Sold (part)	07/05/16	K		
20. LORD ABBETT SHORT TERM	D	Dividend	M	T	Sold (part)	01/22/16	J		
21.					Sold (part)	07/05/16	L		
22. METROPOLITAN WEST TOT. RET. BOND	C	Dividend	M	T	Sold	01/21/16	M		
23.					Buy	07/05/16	K		
24. PRINCIPAL MID CAP BLEND (Y)									
25. PRINCIPAL MID CAP FUND CL P	B	Dividend	K	T	Buy	01/21/16	J		
26.					Sold (part)	07/05/16	J		
27. PRINCIPAL SHORT TERM INCOME FUND CL P	B	Dividend	M	T	Buy	07/05/16	M		
28. PRUDENTIAL SHORT TERM CORP BOND	A	Dividend			Sold	01/21/16	J		
29. PUTNAM EQUITY INCOME		None			Sold	01/22/16	M		
30. STERLING CAPITAL SPECIAL OPPORTUNITIES FUND INSTL		None			Buy	01/22/16	M		
31.					Sold	07/05/16	M	D	
32. SUN AMERICA FOCUSED DIV	C	Dividend	M	T	Buy (add'l)	01/21/16	K		
33.					Sold (part)	07/05/16	K	D	
34. TEMPLETON GLOBAL TOTAL RETURN FUND CL	B	Dividend			Buy	01/21/16	L		

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		
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35.					Sold	07/05/16	L	B	
36. THORNBURG INVESTMENT INCM	A	Dividend			Sold	01/21/16	L		
37. WELLS FARGO DISCIPLINED US CORE FD CL INSTL	B	Dividend	M	T	Buy	07/05/16	M		
38. WESTERN ASSET CORE	D	Dividend	M	T	Sold (part)	01/22/16	J		
39.					Buy (add'l)	07/05/16	K		
40. NATIONWIDE AMERICA'S VISION ANNUITY (FIDVIP EQ INC INITIAL)	C	Distribution	L	T					
41. JACKSON NAT'L LIFE FLEX 1 TAX SHELTERED FIXED ANNUITY	A	Interest	K	T					
42. JACKSON NAT'L LIFE SINGLE MAX TAX SHELTERED FIXED ANNUITY	A	Interest	L	T					

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

PART VII, LINE 1: FORMERLY FIA CARD SVCS NA RASP
PART VII, LINE 40: NAME CHANGE; SEE LINE 66 OF THE 2015 REPORT.
PART VII, LINES 41 AND 42: THESE ASSETS WERE LISTED COLLECTIVELY ON LINE 67 OF THE 2015 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/ RAYMOND C. FISHER**

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