

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Pacz, Richard A.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 10/23/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. Court of Appeals 125 S. Grand Avenue, Ste. 300 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board of Directors	Western Justice Center, 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. Monthly	California Judges Retirement System	\$6,606.00
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. 2011	Cedars Sinai Medical Center - Salary
2. 2011	Health Care Partners - Salary
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. New York University	03/2010	NYC	Interviewer - Root-Tilden Pub. Int. students	Airfare and Hotel
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.	Kirkland & Ellis LLP	Pro bono legal representation	\$48,844.00
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. Fidelity Magellan	A	Dividend	J	T					
2. Fidelity Cash Reserves (IRA)	A	Dividend	J	T					
3. Fidelity Short Term Bond (IRA)	A	Dividend	J	T					
4. Fidelity Govt Income (IRA)	A	Dividend	K	T					
5. Fidelity CA Muni MM	A	Dividend	M	T					
6. Cedars Sinai Med Ctr 403b - ING (SP)	A	Dividend							
7. - Vanguard Target	A	Dividend			Buy/Month		J		
8. - Vanguard Target					Sold	10/25/11	L	A	
9. - SSGA S&P Index Fund	A	Dividend			Buy/Month		J		
10. - SSGA S&P Index Fund					Sold	10/25/11	K	A	
11. - Vanguard Midcap Index Fund	A	Dividend			Buy/Month		J		
12.		Dividend			Sold	10/25/11	K	A	
13. Fidelity PAS (IRA)(Sp) See Note	D	Dividend							
14. Fidelity Cash Reserves	A	Dividend	J	T					
15. Fidelity Cap & Inc Fund	A	Dividend	J	T	Sold (part)	4/14/11	J	A	
16. Fidelity Cap & Inc Fund					Buy (add'l)	11/02/11	J		
17. Fidelity Total Bond	A	Dividend	K	T	Sold (part)	07/10/11	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$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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☐ 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. Fidelity Total Bond					Buy (add'l)	11/02/11	J		
19. Pimco Total Return Adm Shs	A	Dividend	K	T	Sold (part)	08/10/11	J	A	
20. Pimco Total Return Adm Shs					Buy (add'l)	11/02/11	J		
21. Pimco Short Term Adm Shs	A	Dividend	J	T	Buy (add'l)	04/14/11	J		
22. Pimco Short Term Adm Shs					Sold (part)	08/10/11	J	A	
23. Pimco Short Term Adm Shs					Buy (add'l)	09/14/11	J		
24. Pimco Short Term Adm Shs					Buy (add'l)	11/02/11	J		
25. T. Rowe Price High Yield Advisor CL	A	Dividend	J	T	Sold (part)	04/14/11	J	A	
26. T. Rowe Price High Yield Advisor CL					Buy (add'l)	11/02/11	J		
27. Strategic Advisors Small-mid Cap Fund	A	Dividend	K	T	Buy (add'l)	08/10/11	J		
28. Small-Mid Cap Fund - See note in Sec. VIII					Sold (part)	09/14/11	J	A	
29. Strategic Advisors Small-mid Cap Fund					Buy (add'l)	11/02/11	J		
30. Strategic Advisors Val. Fund	A	Dividend	K	T	Sold (part)	04/14/11	J	A	
31. Strategic Advisors Val. Fund					Sold (part)	09/14/11	J	A	
32. Strategic Advisors Val. Fund					Buy (add'l)	11/02/11	J		
33. Strategic Advisors Core Income Fund	A	Dividend	K	T	Buy (add'l)	04/14/11	J		
34. Strategoc Advisors Core Income Fund					Buy (add'l)	08/10/11	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	
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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				
	(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. Strategic Advisors Core Income Fund					Buy (add'l)	08/10/11	J		
36. Strategic Advisors Core Income Fund					Buy (add'l)	11/02/11	J		
37. Strategic Advisors Core Fund	B	Dividend	L	T	Sold (part)	04/14/11	J	A	
38. Strategic Advisors Core Fund					Buy (add'l)	08/10/11	J		
39. Strategic Advisors Core Fund					Sold (part)	09/14/11	J	A	
40. Strategic Advisors Core Fund					Buy (add'l)	11/02/11	K		
41. Strategic Int'l Fund	C	Dividend	L	T	Sold (part)	04/14/11	J	A	
42. Strategic Int'l Fund					Buy (add'l)	08/10/11	J		
43. Strategic Int'l Fund					Buy (add'l)	09/14/11	J		
44. Strategic Int'l Fund					Buy (add'l)	11/02/11	K		
45. Strategic Advisors US Opportunities Fund	A	Dividend	K	T	Sold (part)	04/14/11	J	A	
46. Strategic Advisors US Opportunities Fund					Buy (add'l)	08/10/11	J		
47. Strategic Advisors US Opportunities Fund					Sold (part)	09/14/11	J	A	
48. Strategic Advisors US Opportunities Fund					Buy (add'l)	11/02/11	J		
49. Strategic Advisors Growth Fund	A	Dividend	L	T	Buy (add'l)	08/10/11	J		
50. Strategic Advisors Growth Fund					Buy (add'l)	09/19/11	J		
51. Strategic Advisors Growth Fund					Buy (add'l)	11/02/11	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Strategic Advisors Emerging Markets	A	Dividend	J	T	Buy (add'l)	08/10/11	J		
53. Strategic ADvisors Emerging Markets					Buy (add'l)	11/02/11	J		
54. Fidelity Select Gold	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
55. Fidelity High Income	A	Dividend	J	T	Sold (part)	04/14/11	J	A	
56. Fidelity High Income					Buy (add'l)	11/02/11	J		
57. FIMM Market Port Inst CL	A	Dividend	J	T	Sold (part)	03/01/11	J	A	
58. FIMM Market Port Inst CL					Buy (add'l)	04/14/11	J		
59. FIMM Market Port Inst CL					Sold (part)	05/24/11	J	A	
60. FIMM Market Port Inst CL					Sold (part)	08/23/11	J	A	
61. FIMM Market Port Inst CL					Buy (add'l)	09/14/11	J		
62. FIMM Market Port Inst CL					Buy (add'l)	11/02/11	J		
63. FIMM Market Port Inst CL					Sold (part)	12/21/11	J	A	
64. Credit Suisse Commd Rtrn Strtgy	A	Dividend	J	T	Sold (part)	09/14/11	J	A	
65. Credit Suisse Commd Rtrn Strtgy					Buy (add'l)	11/02/11	J		
66. Merger Fund	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
67. Metropolitan West Low Duration	A	Dividend	J	T	Sold (part)	08/10/11	J	A	
68. Metropolitan West Low Duration					Buy (add'l)	11/02/11	J		

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69. Strategic Advisors Income Opportunities	A	Dividend	J	T	Buy (add'l)	04/14/11	J		
70. Strategic Advisors Income Opportunities					Buy (add'l)	11/02/11	J		
71. Templeton Global Bond Class A	A	Dividend	J	T	Buy (add'l)	11/02/11	J		
72. Fidelity Advisor New Insights CL (Y)	A	Dividend	J	T	Sold	10/22/10	J	A	
73.									
74.									
75.									
76.									

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

Part VII. Investments and Trusts (cont'd)

* [REDACTED] made monthly contributions to her Cedars Sinai Medical Center 403(b) retirement plan until [REDACTED] changed employers.

* Fidelity Portfolio Advisory Services manages [REDACTED] IRA.

* See VII, line 27:

Strategic Advisors Small-Mid Cap Fund was mistakenly identified as "PAS Sm-Mid-CA Fund" on my 2010 Report.

The 2010 Report also reflected that this asset was sold in full on 12/07/10, when there was only a partial sale. Thus, this fund carried over to my 2011 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/ **Richard A. Paez**

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