

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Fernandez, Ferdinand F.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/09/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 125 S. Grand Avenue, Suite 602 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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. _____	_____
2. _____	_____
3. _____	_____

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Fernandez, Ferdinand F.

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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. _____

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.)

	SOURCE	DESCRIPTION	VALUE
1.	West Publishing Co.	Books	\$4,645.20
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE 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. Accts. at Wells Fargo Bank	A	Interest	M	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	A	Interest	L	T					
5. Accts. at Community Bank	B	Interest	M	T					
6. Accts. at California Bank and Trust	A	Interest	L	T					
7. Accts. at Pacific Western Bank	A	Interest	L	T					
8. Accts. at U.S. Bank	B	Interest	M	T					
9. Accts. at Community Commerce Bank	A	Interest	M	T					
10. Accts. at Bank of the West	A	Interest	L	T					
11. Accts. at Citizens Business Bank	A	Interest	L	T					
12. Accts. at Pacific Premier Bank	B	Interest	L	T					
13. Acct. at Discover Bank	A	Interest			Closed	07/06/18	L	A	
14. Acct. at Morgan Stanley Private Bank	A	Interest	L	T	Open	06/07/18	L		
15. Acct. at BMO Harris Bank	A	Interest	L	T	Open	07/18/18	L		
16. Acct. at East West Bank	A	Interest	L	T					
17. Acct. at Bank United N.A., Miami	A	Interest	L	T	Open	07/18/18	L		

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 = \$250,000.001 - \$500,000.000	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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☐ 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. Acct. at Umpqua Bank	B	Interest			Closed	05/30/18	M	A	
19. Acct. at Israel Discount Bank	B	Interest			Closed	07/06/18	L	A	
20. Am. Fund Cap Income Builder; C1 A	D	Dividend	M	T					
21. Am. Fund New Economy C1 A	A	Dividend	J	T					
22. Income Fund of America C1 A	C	Dividend	K	T					
23. Am. Cap. Fund C1 A	C	Dividend	K	T					
24. Am. Fund Balanced Fund C1 A	D	Dividend	M	T					
25. Am Fund Growth Fund C1 A	D	Dividend	L	T					
26. Am Fund, Inv. Co. of America C1 A	B	Dividend	J	T					
27. Wash. Mut. Inv. Fund C1 A	C	Dividend	L	T					
28. Invesco Van Kampen Am. Franchise Fund C1 A	C	Dividend	L	T					
29. Invesco Van Kampen Real Estate Fund C1 A	C	Dividend	L	T					
30. Invesco Van Kampen Comstock Fund C1 A	B	Dividend	K	T					
31. Select Notes Trust Sec. LT #5	B	Interest	J	T					
32. GNMA Pool Cert.	A	Interest	J	T					
33. U.S. T. Bills	B	Interest	L	T					
34. U.S. T. Bills	A	Interest	K	T					

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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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35. U.S. T. Bills	D	Interest	N	T					
36. U.S. T. Bills	B	Interest	L	T					
37. U.S. T. Bills	B	Interest	L	T					
38. Trust #1; Income Beneficiary, Wells Fargo, Trustee (Items 39-111)									
39. (a) Wells Fargo Cash	A	Interest	J	T					
40. (b) Vanguard REIT Viper	A	Dividend	J	T	Sold	07/13/18	J	A	
41. (c-i) Vanguard Emerging Market ETF	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
42. (c -ii) Same as (c-i)					Sold (part)	02/01/18	J	A	
43. (c-iii) Same as (c-i)					Buy (add'l)	09/27/18	J		
44. (d-i) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T	Sold (part)	04/23/18	J	A	
45. (d-ii) Same as (d-i)					Sold (part)	07/13/18	J	A	
46. (d-iii) Same as (d-i)					Sold (part)	11/19/18	J	A	
47. (e-i) AMEX Consumer DISCT SPDR	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
48. (e-ii) Same as (e-i)					Sold (part)	02/01/18	J	A	
49. (e-iii) Same as (e-i)					Sold (part)	09/27/18	J	A	
50. (e-iv) Same as (e-i)					Buy (add'l)	11/19/18	J		
51. (f-i) Consumer Staples Sec SPDR	A	Dividend	J	T	Sold (part)	02/01/18	J	A	

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52. (f-ii) Same as (f-i)					Sold (part)	04/23/18	J	A	
53. (f-iii) Same as (f-i)					Sold (part)	11/19/18	J	A	
54. (g) AMEX Energy Select SPDR	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
55. (h-i) Financial Select Sec. SPDR	A	Dividend	J	T	Buy (add'l)	11/19/18	J		
56. (h-ii) Same as (h-i)					Sold (part)	02/01/18	J	A	
57. (i-i) Health Care Select Sec. SPDR	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
58. (i-ii) Same as (i-i)					Sold (part)	02/01/18	J	A	
59. (i-iii) Same as (i-i)					Sold (part)	09/27/18	J	A	
60. (i-iv) Same as (i-i)					Buy (add'l)	11/19/18	J		
61. (j-i) AMEX Industrial SPDR	A	Dividend	J	T	Buy (add'l)	11/19/18	J		
62. (j-ii) Same as (j-i)					Sold (part)	02/01/18	J	A	
63. (j-iii) Same as (j-i)					Sold (part)	09/27/18	J	A	
64. (k-i) AMEX Technology SPDR	A	Dividend	J	T	Sold (part)	02/01/18	J	A	
65. (k-ii) Same as (k-i)					Sold (part)	04/23/18	J	A	
66. (k-iii) Same as (k-i)					Sold (part)	09/27/18	J	A	
67. (l) AMEX Materials SPDR	A	Dividend	J	T					
68. (m-i) I Shares S&P Midcap 400 Growth	A	Dividend	J	T	Sold (part)	02/01/18	J	A	

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69. (m-ii) Same as (m-i)					Sold (part)	09/27/18	J	A	
70. (n) I Shares S&P Midcap 400 Value	A	Dividend	J	T	Sold (part)	09/27/18	J	A	
71. (o) I Shares Core S&P Small Cap	A	Dividend			Sold	02/01/18	J	C	
72. (p-i) Fidelity New Markets Income Fund Class 1 (formerly Fidelity	A	Dividend	J	T	Buy (add'l)	02/01/18	J		
73. (p-i cont.) Advisors Emerging Markets Income Fund Class 1)See Pt. VIII									
74. (p-ii) Same as (p-i)					Buy (add'l)	09/27/18	J		
75. (p-iii) Same as (p-i)					Sold (part)	04/20/18	J	A	
76. (q-i) Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Sold (part)	02/01/18	J	A	
77. (q-ii) Same as (q-i)					Buy (add'l)	09/27/18	J		
78. (q-iii) Same as (q-i)					Buy (add'l)	04/23/18	J		
79. (r) ASG Global Alternative fund Class Y	A	Dividend	J	T					
80. (s) T Rowe Price Inst Float Rate Fund	A	Dividend	J	T	Buy (add'l)	09/27/18	J		
81. (t-i) Neuberger Berman Long Short Fund	A	Dividend	J	T	Sold (part)	04/20/18	J	A	
82. (t-ii) Same as (t-i)					Sold (part)	09/26/18	J	A	
83. (u-i) AQR Managed Futures STR-1 #15213	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
84. (u-ii) Same as (u-i)					Sold (part)	01/31/18	J	A	
85. (v) Blackrock Global L/S Credit Class K #1940	A	Dividend	J	T	Sold (part)	09/26/18	J	A	

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86. (w-i) T Rowe Price Real Estate Fund #432	A	Dividend	J	T	Buy (add'l)	02/01/18	J		
87. (w-ii) Same as (w-i)					Buy (add'l)	09/27/18	J		
88. (w-iii) Same as (w-i)					Sold (part)	07/12/18	J	A	
89. (w-iii) Same as (w-i)					Sold (part)	11/16/18	J	A	
90. (x) JP Morgan High Yield Fund Select Shares	A	Dividend	J	T	Buy (add'l)	04/23/18	J		
91. (y) Vanguard Inflation Protected Sec. Fund - Admiral Shares	A	Dividend			Sold	01/31/18	J	A	
92. (z-i) Vanguard Intermediate Term B	A	Dividend	K	T	Sold (part)	04/23/18	J	A	
93. (z-ii) Same as (z-i)					Sold (part)	09/27/18	J	A	
94. (aa-i) Vanguard Short Term Bond ETF	A	Dividend	J	T	Sold (part)	02/01/18	J	A	
95. (aa-ii) Same as (aa-i)					Sold (part)	04/23/18	J	A	
96. (aa-iii) Same as (aa-i)					Buy (add'l)	09/27/18	J		
97. (bb-i) Real Estate Select Sector	A	Dividend			Buy (add'l)	04/23/18	J		
98. (bb-ii) Same as (bb-i)					Sold	11/19/18	J	A	
99. (cc-i) Eaton Vance Global Macro Absolute Return Adv. Fund-Class I #208	A	Dividend	J	T	Buy (add'l)	02/01/18	J		
100. (cc-ii) Same as (cc-i)					Buy (add'l)	09/27/18	J		
101. (cc-iii) Same as (cc-i)					Sold (part)	04/20/18	J	A	
102. (dd-i) John Hancock Fund 11 - Absolute Return Currency #3643	A	Dividend	J	T	Buy (add'l)	04/23/18	J		

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103. (dd-ii) Same as (dd-i)					Buy (add'l)	09/27/18	J		
104. (ee) Vanguard Short Term Corporate Bond	A	Dividend	J	T	Buy	04/23/18	J		
105. (ff-i) TCW Emrg Mkts Incm. 14721	A	Dividend	J	T	Buy	07/13/18	J		
106. (ff-ii) Same as (ff-i)					Buy (add'l)	09/27/18	J		
107. (gg) Communications Serv. Sel. Sector SPDR	A	Dividend	J	T	Buy	11/19/18	J		
108. (hh) Powershares DB Optimum Yield Diversified Commodity Strategy	A	Dividend	J	T	Buy	09/27/18	J		
109. (ii-i) I Shares Russell 2000 ETF	A	Dividend	J	T	Buy	02/01/18	J		
110. (ii-ii) Same as (ii-i)					Sold (part)	09/29/18	J	A	
111. (jj) I Shares Corp MSCI Emerging Mks.	A	Dividend	J	T	Buy	09/27/18	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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
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

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Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/09/2019

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

- 1) Item 72 - On 12-10/18 Fidelity Advisors Emerging Markets Income Fund Class 1 merged with Fidelity New Markets Income Fund Class 1 and the shares of the former were replaced with shares of the latter.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/09/2019

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/ Ferdinand F. Fernandez**

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