

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 07/25/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge	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 21800 Oxnard Street Suite 1140 Woodland Hills, Ca 91367		
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member		Marine Corps Reserve Officers Association
2. Member		Advisory Board, Childhelp USA
3. Member		Advisory Board of Directors, Metropolitan Division, The Salvation Army
4. Member		Board of Trustees, Devil Pups, Inc
5. Member		Advisory Board, Foundation for Pierce College

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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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. 2011	State of California Judge's Retirement System	\$17,387.00
2. 2011	GGWH LLC - Nonemployee Compensation	\$18,000.00
3. 2011	Raymond James & Assoc - IRA	\$1,074.00
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	Los Angeles Community College District - Salary
2. 2011	Raymond James & Assoc - IRA
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.)*

<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. Lot 59, Oxnard Shoes, CA (1964)		None	O	W					
2. Lot 60, Oxnard Shoes, CA (1964)		None	O	W					
3. Lot 88, Woodland Hills, CA		None	O	W					
4. Limited Partnership Interest in Penn Cal Investors, Cal LTD	G	Rent	O	U					
5. CGM403(B) Custodian UIPL LA Community College									
6. - CG Capital Markets Money Market Fund	A	Dividend	K	T					
7. - CG Capital Markets Core Fixed Income Fund	B	Dividend	L	T	Buy (add'l)	07/26/11	L		
8. - CG Capital Markets Lg Capital Value Investments	C	Dividend	M	T	Buy (add'l)	07/26/11	K		
9.					Sold (part)	10/15/11	J	D	
10. - CG Capital Markets Sm Capital Value Investments	A	Dividend	J	T	Buy (add'l)	07/26/11	J		
11.					Sold (part)	10/15/11	J	A	
12. - CG Capital Markets Emerging Markets Investments	B	Dividend	L	T	Buy (add'l)	07/26/11	K		
13.					Sold (part)	10/15/11	J	A	
14. - CG Capital Markets International Fixed Income Investments	B	Dividend	K	T	Buy (add'l)	07/26/11	K		
15. - CG Capital Markets International Equity Investments	B	Dividend	K	T	Buy (add'l)	07/26/11	K		
16.					Sold (part)	10/15/11	K	C	
17. - CG Capital Markets Lg Cap Growth Investment	A	Dividend	M	T	Buy (add'l)	07/26/11	K		

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		

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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.					Sold (part)	10/15/11	K	D	
19. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Buy (add'l)	08/26/11	K		
20.					Sold (part)	10/15/11	J	A	
21. Morgan Stanley									
22. Western Asset Money Mkt Cl A	A	Distribution			Distributed	04/21/11	N		
23. Morgan Stanley Liquid Asset Fund, Inc.	B	Dividend	L	T	Buy	04/21/11	N		
24. Chase	A	Interest	M	T					
25. MorganStanley									
26. - CG Capital Markets International Equity Investments	B	Dividend	K	T	Buy (add'l)	07/26/11	K		
27. - CG Capital Markets Lg Cap Growth Investment	A	Dividend	M	T	Buy (add'l)	08/26/11	L		
28. - Citicorp Trust Bank ???	A	Interest	K	T					
29. - Citibank NA South Dakota BDP ???	A	Interest	M	T					
30. - CG Capital Markets - Money Market	A	Interest	J	T					
31. - CG Capital Markets Core Fixed Income	C	Dividend	L	T	Buy (add'l)	10/07/11	L		
32. - CG Capital Markets Lg Capital Value Investments	B	Dividend	M	T	Buy (add'l)	08/26/11	L		
33. - CG Capital Markets Sm Capital Value Investments	A	Dividend	J	T	Buy (add'l)	08/26/11	J		
34. - CG Capital Markets Emerging Markets Investments	C	Dividend	L	T	Buy (add'l)	08/26/11	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 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 P = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000 Q = More than \$5,000,000	M = \$100,001 - \$250,000 R = \$250,001 - \$500,000	P = \$500,001 - \$1,000,000 Q = More than \$1,000,000
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. - CG Capital Markets International Fixed Income Investments	B	Dividend	K	T	Buy (add'l)	10/07/11	K		
36. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Buy (add'l)	08/26/11	J		
37. Raymond James									
38. - Bank of China - NY Certificate of Deposit	A	Interest	M	T					
39. - American Express Centurion Bank	A	Interest			Distributed	10/31/11	M		
40. - Ally Bank - UT DTD 03/31/10	B	Interest	M	T					
41. Northern Trust									
42. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	T					
43. - MFB NTHN CA Mun Money Mkt	A	Interest	M	T					
44. Raymond James									
45. - JP Morgan Chase CO Notes	B	Interest	K	T					
46. - Microsoft Coporation Stock	A	Dividend	K	T					
47. - FHLM 2.5% Due 10/15/22	B	Interest	L	T					
48. - American Express MM	A	Interest	N	T					
49. - Seadrill Limited Corporate Stock	D	Dividend	L	T	Buy	03/30/11	L		
50. Raymond James IRA #1: American Express Bank	A	Dividend	J	T	Distributed (part)	12/18/11	J		
51. Raymond James IRA #2: Raymond James Bank	A	Interest	J	T	Distributed (part)	12/19/11	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	

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52. Harry Pregerson 1996 Irrevocable Trust									
53. - USBank Bank	A	Interest	J	T					
54. - Janus Fund	A	Dividend	J	T					
55. Ing Direct - Orange Savings	B	Interest	P2	T					
56. - Orange Savings	B	Interest			Closed	03/01/11	J		
57. City National Bank									
58. - CDs/MM	A	Interest	N	T					
59. - Checking Accts	A	Interest	N	T					
60. Janus Money Market Fund D	A	Int./Div.			Closed	03/01/11	N		
61. Wells Fargo Bank	A	Interest	N	T					
62. Vanguard 403(B)7 A/C Total Bond Mkt Index Inv	A	Dividend	K	T					
63.									

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

52 was shown in 2010 as "Raymond James IRA #1: Microsoft Corporation Stock. It should have been shown as cash.

#53 is a name change for the cash in bank

#7 is a header

#23 is a header

#37 is a header

#39 is a header

#43 is a header

#46 is a header

#54 is a header

#59 is a header

#3 On amended return previous lines 3, 4 and 5 are combined into line #3.

On amended return, Section I, added line 5.

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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/ **Harry Pregerson**

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