

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) TROTT, Stephen S.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/01/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge, Senior Status	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 U.S. Courthouse 550 W. Fort Street, Room 667 Boise, Idaho 83724		
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. Board Member	Boise Philharmonic Foundation
2. Board Member	Esther Simplot Performing Arts Center
3. Advisory Committee Member	Childrens Home Society of Idaho
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. 2012	Vested interest in a retirement plan maintained by Los Angeles Cnty, CA. I was employed as an attorney between 1965/1981. I draw a retirement income monthly.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

TROTT, Stephen S.

Date of Report

04/01/2013

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Los Angeles County California Retirement	\$12,000.00
2. 2012	"Highwaymen" LLC, Record Sales & Performance Fees	\$2,000.00
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Harvard Law School	October 22-26, 2012	Cambridge, MA	Lecture on Informants	Transportation
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

TROTT, Stephen S.

Date of Report

04/01/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

TROTT, Stephen S.

Date of Report

04/01/2013

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. Chevron Corp CVX	D	Dividend	M	T					
2. Exxon Mobil Corp XOM	B	Dividend	L	T					
3. Realty Income Corp Reit O	C	Dividend	L	T					
4. San Diego Cnty CACTF Partn. Sharp 5.25%	A	Dividend			Redeemed	01/24/12	J	A	
5. - CPN 5% due 8/15/28 Call 07/23/10 @ 101.00									
6. - Moody A3 - S&PA CUSIP									
7. Calamos Invy Tr New Growth Fd CGRIX	D	Dividend			Sold	12/14/12	J	B	
8. Dodge Cox Int'l Stk Fd DODFX	B	Dividend	J	T	Sold (part)	12/14/12	J	B	
9. Growth Fund of America Class F GFAFX	D	Dividend	J	T	Sold (part)	12/14/12	J	A	
10. Highmark FDS Pnmfx Gineua MidCap Growth FD CLF PNMFX	E	Dividend	J	T	Buy	12/14/12	J		
11. Janus Inst Overseas FD JIGFX	A	Dividend	J	T					
12. Janus Adv Mid Cap Value Cl I JMVAX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
13. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T					
14. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	06/13/12	J	A	
15. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
16. Mutual Ser FD Inc Global Dis Fd CL Z MDISX	A	Dividend	J	T	Sold (part)	10/16/12	J	B	
17. J.P. Morgan US Govt Money MKT Fund Instl Class IJGXX	E	Dividend	J	T					

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 = \$250,000.01 - \$500,000.00	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 5 of 9

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TROTT, Stephen S.

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18. J.P. Morgan US Govt Money MKT Fund Instl Class IJGXX	A	Dividend	J	T	Buy	12/14/12	J		
19. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T					
20. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T	Buy	12/14/12	J		
21. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T					
22. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T	Buy	12/14/12	J		
23. T. Rowe Price Intl FDS (PRIDX) Inc. Int'l Discovery Fund	A	Dividend	J	T	Buy	06/14/12	J		
24. Vanguard Index Trust 500 Portfolio Inv Fd VIFSX	D	Dividend	J	T	Sold (part)	06/14/12	J	A	
25. Vanguard Index Trust 500 Portfolio Inv Fd VIFSX	C	Dividend	K	T	Buy	12/14/12	K		
26. Vanguard Sm Cap Sig Shrs VSISX	A	Dividend	J	T	Sold (part)	12/14/12	J	B	
27. Vanguard Bond Index FD Short Term VBSSX	A	Dividend	J	T					
28. Vanguard Fixed Income Sec. FD Short VFSUX	A	Dividend	J	T					
29. Vanguard Fixed Income Sec. FD Short VFSUX	A	Dividend	J	T	Buy	12/14/12	J		
30. Vanguard Mid Cap Index Fd CL 1 VMISX	C	Dividend	J	T					
31. Vanguard Mid Cap Index Fd CL 1 VMISX	C	Dividend	J	T	Buy	12/14/12	J		
32. Vanguard Bond Index VBTSX	D	Dividend	J	T					
33. Vanguard Total Inst STK Index Fund VTSGX	A	Dividend	J	T					
34. Vanguard Total Inst STK Index Fund VTSGX	A	Dividend	J	T	Buy	02/16/12	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

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35. Vanguard Total Int'l Stk Ind Sig Shr VTSGX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
36. Calamos Inv TR New Growth FD CL CGRIX	A	Dividend			Sold	12/14/12	J	A	
37. Cash & Money Market - Evergreen US Govt Portfolio	A	Interest	K	T					
38. Dodge Cox Intl STK Fund DODFX	A	Dividend	J	T	Sold (part)	10/16/12	J	A	
39. Growth Fund American Fund - Class F GFAFX	A	Dividend	J	T	Sold (part)	06/13/12	J	A	
40. Growth Fund American Fund - Class F GFAFX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
41. Janus Advisers Ser Adv Mid Cap Cl 1 JMVAX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
42. Janus Invst FD Overseas - FD CL 1 JIGFX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
43. J.P. Morgan US Gov't Money Mkt Fd Int'l Class IJGXX	A	Dividend	J	T					
44. J.P. Morgan US Gov't Money Mkt Fd Int'l Class IJGXX	A	Dividend	J	T	Buy	12/14/12	J		
45. Legg Mason Value Trust TR Inc NAV LMNVX	D	Dividend	J	T	Sold (part)	06/13/12	J	A	
46. Legg Mason Value Trust TR Inc NAV LMNVX	D	Dividend	J	T	Sold (part)	12/14/12	J	A	
47. Mutual Ser FD Inc GLBL Discovery Fd CL Z MDISX	A	Dividend	J	T	Sold (part)	10/16/12	J	A	
48. PIMCO Commodity Real Return PCRIX	A	Dividend	J	T					
49. PIMCO Commodity Real Return PCRIX	A	Dividend	J	T	Buy	12/14/12	J		
50. PIMCO FDS Pac Invst Mgt Ser Total Return PTTRX	A	Dividend	J	T					
51. Vanguard Index Trust 500 Portfolio Inv Fund VIFSX	A	Dividend	J	T	Sold (part)	06/13/12	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52. Vanguard S&P Index Fd Sig Shrs VIFSX	A	Dividend	J	T	Buy	12/18/12	J		
53. Vanguard Index TR Small Cap Stock Portfolio VSISX	A	Dividend	J	T	Sold (part)	10/16/12	J	A	
54. Vanguard Mid Cap Ind Fd Sig Shrs VMISX	A	Dividend	J	T					
55. Vanguard Mid Cap Ind Fd Sig Shrs VMISX	A	Dividend	J	T	Buy	12/18/12	J		
56. Vanguard Total Stk Index Fund VTSGX	A	Dividend	J	T	Sold (part)	10/16/12	J	A	
57. Vanguard Total Stk Index VTSGX	A	Dividend	J	T	Sold (part)	12/14/12	J	A	
58. Vanguard Municipal Bond Fund VMLUX	A	Dividend	J	T					
59. Vanguard Municipal Bond Fund Lmted Term Tax Exempt VMLUX	A	Dividend	J	T	Buy	02/16/12	J		
60. Vanguard Municipal Bond Fund Short Term VWSUX	D	Dividend	J	T	Sold (part)	06/14/12	J	A	
61. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T	Buy	12/14/12	J		
62. Highmark FDS Geneva Mid-Cap Growth FD CLF PNMFEX	A	Dividend	J	T	Buy	12/14/12	J		
63. T. Rowe Price Int'l FDS Inc. Int'l Discovery Fund PRIDX	A	Dividend	J	T	Buy	06/13/12	J		
64. IRA - US Bank Cash Equivalent	C	Interest	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

TROTT, Stephen S.

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04/01/2013

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

Section VII: This, except for line #64 (IRA U.S. Bank), belongs to [REDACTED] and is [REDACTED] separate asset held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

1. Lines 43 and 44 exchange 06/27/12

was Vanguard Fixed Income SECS FD Inc. Short Term Inv Grade FD Inv. SHS (VFSTX)
now Vanguard Short Term Corporate Fund Adm. as of (06/26/12) SHR Class Ex (VFSUX)

Note: This report consists of three separate accounts.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

TROTT, Stephen S.

Date of Report

04/01/2013

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 S. TROTT

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