

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 01/01/2017 to 12/31/2017
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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.		
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. 2017	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Annenberg Foundation	Jan. 29-Feb. 1, 2017	Rancho Mirage, CA	Civic Education Retreat	Transportation, meals, and lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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	K	T					
2. AIG FOCUSED DIVIDEND STRAT (FDSWX) (X)	D	Distribution	M	T	Sold (part)	07/19/17	J	A	
3.					Buy (add'l)	08/01/17	K		
4.					Sold (part)	08/21/17	J		
5.					Sold (part)	11/20/17	J	A	
6. CHIRON CAPITAL ALLOCATION FUND INSTL CL	A	Dividend			Sold (part)	01/23/17	J		
7.					Sold (part)	07/19/17	J	A	
8.					Sold	08/01/17	M	D	
9. COLUMBIA DIV INCOME	D	Dividend	M	T	Sold (part)	01/23/17	K	D	
10.					Sold (part)	07/19/17	J	A	
11.					Buy (add'l)	08/01/17	J		
12.					Sold (part)	08/21/17	J	A	
13.					Sold (part)	11/20/17	J	A	
14. FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL		None			Sold	01/23/17	M	D	
15. FRANKLIN MUT GLOBAL DISC FD		None			Sold (part)	01/23/17	J	A	
16.					Sold (part)	07/19/17	J	A	
17.					Sold	08/01/17	M	E	

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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 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. J. HANCOCK DISCIPLINED VALUE	B	Dividend	L	T	Sold (part)	01/23/17	J	A	
19.					Buy (add'l)	08/01/17	J		
20.					Sold (part)	11/20/17	J	A	
21. LOOMIS SAYLES LTD TERM GOV & AGENCY FD CL Y	C	Dividend	M	T	Buy (add'l)	01/23/17	K		
22.					Sold (part)	07/19/17	J		
23.					Sold (part)	08/01/17	L		
24.					Sold (part)	08/21/17	J		
25.					Sold (part)	11/20/17	J		
26. LORD ABBETT AFFILIATED FD CL F (LAAFX)	E	Dividend	M	T	Buy	01/23/17	M		
27.					Sold (part)	07/19/17	J	A	
28.					Buy (add'l)	08/01/17	K		
29.					Sold (part)	08/21/17	J		
30.					Sold (part)	11/20/17	J		
31. LORD ABBETT SHORT TERM	D	Dividend	M	T	Buy (add'l)	01/23/17	K		
32.					Sold (part)	07/19/17	J		
33.					Sold (part)	08/01/17	L		
34.					Sold (part)	08/21/17	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 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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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)

35.					Sold (part)	11/20/17	J		
36. MAINSTAY INTERNATIONAL OPP FUND CL I	B	Dividend	M	T	Buy	08/01/17	M		
37.					Sold (part)	08/21/17	J		
38.					Sold (part)	11/20/17	J		
39. METROPOLITAN WEST TOT. RET. BOND	C	Dividend	M	T	Sold (part)	01/23/17	J		
40.					Sold (part)	07/19/17	J		
41.					Sold (part)	08/01/17	K		
42.					Sold (part)	08/21/17	J		
43.					Sold (part)	11/20/17	J		
44. NATIXIS GATEWAY FUND CL Y	A	Dividend	M	T	Buy	08/01/17	M		
45.					Sold (part)	08/21/17	J		
46.					Sold (part)	11/20/17	J		
47. NUVEEN REAL ASSET INCOME FUND CL I	B	Dividend	L	T	Buy	08/01/17	L		
48.					Sold (part)	11/20/17	J		
49. PRINCIPAL MID CAP FUND CL P	B	Dividend	L	T	Buy (add'l)	08/01/17	J		
50.					Sold (part)	11/20/17	J	A	
51. PRINCIPAL SHORT TERM INCOME FUND CL P	C	Dividend	M	T	Buy (add'l)	01/23/17	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 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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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)
52.					Sold (part)	08/01/17	L		
53.					Sold (part)	08/21/17	J		
54.					Sold (part)	11/20/17	J		
55. SUN AMERICA FOCUSED DIV		None			Sold	01/23/17	K	C	
56. TRANSAMERICA LARGE CAP VALUE FUND (TWQIX)	E	Dividend	M	T	Buy	01/23/17	M		
57.					Sold (part)	07/19/17	J	A	
58.					Buy (add'l)	08/01/17	K		
59.					Sold (part)	08/21/17	J	A	
60.					Sold (part)	11/20/17	J		
61. WELLS FARGO DISCIPLINED US CORE FD CL INSTL	D	Dividend	M	T	Sold (part)	01/23/17	K	C	
62.					Sold (part)	07/19/17	J	A	
63.					Buy (add'l)	08/01/17	K		
64.					Sold (part)	08/21/17	J	A	
65.					Sold (part)	11/20/17	J	A	
66. WESTERN ASSET CORE	D	Dividend	M	T	Sold (part)	01/23/17	J		
67.					Sold (part)	07/19/17	J	A	
68.					Sold (part)	08/01/17	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 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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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)
69.					Sold (part)	08/21/17	J		
70.					Sold (part)	11/20/17	J	A	
71. NATIONWIDE AMERICA'S VISION ANNUITY (FIDVIP EQ INC INITIAL)	A	Interest	L	T	Distributed (part)	11/01/17	J		
72. JACKSON NAT'L LIFE FLEX 1 TAX SHELTERED FIXED ANNUITY	B	Interest	K	T	Distributed (part)	06/02/17	J		
73. JACKSON NAT'L LIFE SINGLE MAX TAX SHELTERED FIXED ANNUITY	B	Interest	L	T	Distributed (part)	06/02/17	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 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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

FISHER, RAYMOND C.

Date of Report

05/14/2018

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544