

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) Noonan, Jr., John T.	2. Court or Organization U.S. Court of Appeals, 9th	3. Date of Report 10/31/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address U.S. Court of Appeals 95 Seventh Street San Francisco, CA 94103		
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. President and Director	Thomas More-Jacques Maritain Institute (non-profit cultural organization)
2. Member	Advisory Council, Transparency International
3. Member	Editorial Board, American Journal of Jurisprudence
4. Member	President's Council, Graduate Theological School
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. 07/01/86	University of California pension based on service
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	Pension: University of California	\$44,260.00
2. 2011	Royalty-West Services	\$2,081.99
3. 2011	Royalty-University of California	\$121.08
4. 2011	Royalty-University of Notre Dame Du Lac	\$51.68
5. 2011	Refund: California Franchise Tax Board	\$4,701.00

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.				
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.)*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.

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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. Wells Fargo Checking #3914	A	Interest	M	T					
2. Wells Fargo Market Rate #9466	A	Interest	L	T					
3. Wells Fargo retirement CD's	A	Interest	K	T					
4. Wells Fargo CD		None			Matured	03/10/11	L	A	
5. Bank of America Checking - #2422	A	Interest			Merged (with line 1)	02/24/11	L		
6. Teachers Insurance and Annuity Association	D	Interest	M	T					
7. DWS Global Fund (formerly Scudder Int'l Bond Fund	A	Dividend			Redeemed	10/18/11	K	A	
8. ****Schwab IRA #1483									
9. -Fidelity Contrafund		None			Redeemed	10/18/11	K	A	
10. Fidelity Equity Income II -Schwab 1483	C	Dividend			Sold	10/17/11	M	A	
11. -Fidelity Growth Company	A	Dividend	M	T					
12. -Fidelity Blue Chip Growth	A	Dividend			Sold	10/17/11	K	A	
13. -Vanguard 500 Index Fund	A	Dividend			Sold	10/18/11	K	A	
14. -Eaton Vance Parametric	A	Dividend	L	T	Buy	10/17/11	L		
15. -Vanguard FTSE	B	Dividend	K	T	Buy	10/18/11	K		
16. -IVA International Fund	B	Dividend	L	T	Buy	10/17/11	L		
17. -Schwab Treasury Fund		None	J	T	Buy	07/05/11	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. ****Schwab IRA #8394									
19. -Fidelity Blue Chip Growth	A	Dividend	J	T					
20. -Fidelity Equity Income	A	Dividend	J	T					
21. Legacy Treasury Direct - #5369	B	Interest	K	T					
22. Legacy Treasury Direct		None			Merged (with line 21)	5/01/11	K		
23. **Schwab #5691									
24. -JP Morgan Chase	A	Dividend	L	T					
25. -General Mills	A	Dividend	L	T					
26. -Procter & Gamble Common	B	Dividend	L	T					
27. -Neurobiological Technologies		None	J	T					
28. -BP P.L.C.	A	Dividend	K	T					
29. -Coca Cola Common	B	Dividend	L	T					
30. -Eli Lilly Corporation	A	Dividend	K	T					
31. -IBM Common	A	Dividend	L	T					
32. -Fortune Brands	A	Dividend	J	T					
33. -Monsanto	A	Dividend	K	T					
34. -Pfizer	A	Dividend	K	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 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	

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35. -JPMorgan Strategic Income	A	Dividend	L	T	Buy	10/18/11	L		
36. -Pimco Total Return Fund	A	Dividend	K	T	Buy	10/18/11	K		
37. -Templeton Global Fund	B	Dividend	K	T	Buy	10/18/11	K		
38. -Fidelity Magellan Fund	A	Dividend	M	T					
39. -Wasach Long Short Fund		None	L	T	Buy	10/17/11	L		
40. -Calvert Social Investment Fund		None			Sold	10/17/11	K	A	
41. -Fidelity CA Muni Income Fund	D	Interest			Sold	11/07/11	M	A	
42. -Thornburg CA Limited Term		None			Redeemed	11/07/11	N	D	
43. -DWS Enhanced Global Bond		None			Sold	10/18/11	K	A	
44. -Schwab US Treasury Money Fund	A	Dividend	N	T	Buy	09/29/11	N		
45. -Beam Inc	A	Dividend	K	T	Spinoff (from line 32)	10/03/11	K		
46. -Diamond Hill Long-Short Fund		None			Sold	10/17/11	L	A	
47. -Ca State University Revenue Bond	B	Interest			Matured	08/01/11	K	A	
48. -North of the River Sanitary District Bond	B	Interest			Matured	05/02/11	K	A	
49. ****Schwab #6882									
50. -Alhambra CA Muni		None	K	T	Buy	12/02/11	K		
51. -Brea Olinda CA Muni		None	K	T	Buy	11/09/11	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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52. -Burlingame CA Muni		None	K	T	Buy	11/23/11	K		
53. -California State Dept Muni		None	K	T	Buy	11/10/11	K		
54. -California State Econo Muni		None	K	T	Buy	11/10/11	K		
55. -Clark County Nev Highway Muni		None	K	T	Buy	11/17/11	K		
56. -Corona-Norco CA Muni		None	K	T	Buy	11/16/11	K		
57. -Hartnell CA Muni		None	K	T	Buy	11/22/11	K		
58. -Kane Kendall Muni		None	K	T	Buy	11/17/11	K		
59. -LA CA Muni		None	K	T	Buy	11/30/11	K		
60. -LA County Muni		None	K	T	Buy	11/21/11	K		
61. -San Bernardino CA Muni		None	K	T	Buy	12/05/11	K		
62. -Saugus CA Muni		None	K	T	Buy	11/29/11	K		
63. -Simi Valley CA Muni		None	K	T	Buy	11/15/11	K		
64. -Southern CA Pubic Muni		None	K	T	Buy	11/16/11	K		
65. -Southwestern Cmn Muni		None	K	T	Buy	12/05/11	K		
66. -University CA Muni		None	K	T	Buy	11/21/11	K		
67. -William S Hart CA Muni		None	K	T	Buy	11/18/11	K		
68. ****Schwab IRA #4618									

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69. -Wells Fargo Advantage Gov (X)	A	Int./Div.	J	T					
70. -Wells Fargo Advantage Premier Large (X)	A	Int./Div.	J	T					
71. -JP Morgan Prime Money Market Fund	A	Interest			Sold	05/19/11	M		
72. -JP Morgan Prime Money Market Fund	A	Interest			Sold	05/19/11	J		
73. -JP Morgan Prime Money Market Fund	A	Interest			Sold	05/19/11	J		
74. ****BofA Trust Number #1 #5674 (No personal income)	D	Dividend	N	T					
75. -JP Morgan International Equity Fund (previously "Fleet...")	C	Dividend	L	T					
76. -JP Morgan Tax Exempt Fund (previously "Fleet...")	D	Int./Div.	M	T					
77. -Columbia High Yield Muni Fund	A	Int./Div.	J	T					
78. -JP Morgan Large Cap Value Fund (previously "Fleet...")	B	Dividend	L	T	Buy (add'l)	10/05/11	J		
79. -Delaware Emerging Markets Fund	A	Dividend	K	T					
80. -Natixis Funds Trust	A	Dividend	J	T					
81. -Old Mutual Mid Cap Value Fund		None			Sold	10/03/11	J	A	
82. -Pimco Commodity Real Return Fund	D	Dividend	K	T					
83. -Westcore Small Cap Value Fund	A	Dividend	J	T					
84. -JP Morgan Large Cap Growth (previously "Fleet...")	A	Dividend	L	T	Buy (add'l)	10/05/11	J		
85. -John Hancock Funds III Disiplined	A	Dividend	J	T	Buy	04/01/11	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	
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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86. -JP Morgan Mid Cap Growth (previously "Fleet...")	A	Dividend	K	T					
87. -JP Morgan Mid Cap Value	A	Dividend	J	T	Buy	02/03/11	J		
88. -JP Morgan Small Cap Growth	A	Dividend	J	T	Buy	10/05/11	J		
89. -JP Morgan Small Cap Value	A	Dividend	J	T	Buy	02/03/11	J		
90. -JP Morgan Emerging Markets Stock Fund	A	Dividend	K	T	Buy	02/03/11	K		
91. ****Trust # 2 Bofa #5677 (No personal income)									
92. -Columbia High Yield Muni Fund	A	Dividend	J	T					
93. -Delaware Emerging Markets Fund	A	Dividend	J	T					
94. -Eaton Vance Large Cap Value Fund	A	Dividend			Sold	08/01/11	J	A	
95. -Pimco Commodity Fund	B	Dividend	J	T					
96. -JP Morgan Equity Income Fund for Trusts	A	Dividend	J	T	Buy	08/03/11	J		
97. -JP Morgan Large Cap Growth	A	Dividend	K	T	Buy	10/05/11	J		
98. -JP Morgan Large Cap Value	A	Dividend	K	T	Buy	02/03/11	J		
99. -John Hancock Funds III Disciplined	A	Dividend	J	T	Buy	04/01/11	J		
100. -JP Morgan Mid Cap Growth	A	Dividend	J	T	Buy	10/05/11	J		
101. -JP Morgan Mid Cap Value	A	Dividend	J	T	Buy	10/05/11	J		
102. -JP Morgan Small Cap Growth	A	Dividend	J	T	Buy	10/05/11	J		

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103. -JP Morgan Small Cap Value	A	Dividend	J	T	Buy	10/05/11	J		
104. -Westcore Small Cap Value (X)	A	Dividend	J	T					
105. -JP Morgan International Equity	B	Dividend	K	T	Buy	10/05/11	J		
106. -JP Morgan Emerging Markets Stock Fund	A	Dividend	J	T	Buy	02/03/11	J		
107. -MA Intermediate Tax Exempt Bond	C	Interest	M	T	Buy	01/05/11	J		
108. -T Rowe Price International	A	Dividend	J	T	Buy	02/03/11	J		
109. -Natixis Funds Trust	A	Dividend	J	T	Buy	02/03/11	J		
110. Wells Fargo Investments-Thornburg Investment Trust		None			Merged (with line 42)	01/01/11	N		
111.									

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	

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

In response to the October 9th 2012 letter of inquiry, we have made the following adjustments or clarifications:

The items listed on lines 9, 17, 43, and 81 have been addressed, to include the selection of "none" under column B(2) for income type.

Regarding lines 42 and 43, the Thornburg CA Limited Term and DWS Enhanced Global Bond investments not being listed in previous report, these are corrected names of mutual funds that were in prior report, lines 9 and 10. Thornburg CA Limited Term was previously listed as Wells Fargo Investments-Thornburg Investment Trust and DWS Enhanced Global Bond was listed as DWS Global Fund (formerly Scudder Int'l Bond Fund).

Regarding lines 75, 76, 78, 84, 86-90, 96-98, 100-103, 105, and 106, the names that are listed are the actual names of the funds. For example, on line 100, it lists Mid Cap Value. If you Google the symbol JAMCX, you will see it listed as JP Morgan Mid Cap Value. To clarify, I have pre-prepended all the lines in question with "JP Morgan", even though that is not how it is listed on their statements.

Regarding prior report, line 10, Wells Fargo Investments-Thornburg Investment Trust omitted item, as noted above, this was replaced with the correct name of the investment, Thornburg CA Limited Term which is line 42. To document this, in order to keep existing row numbers the same, I added back the Wells Fargo Investments-Thornburg Investment Trust to the end at line 110, and referenced line 42 as corrected entry.

The below information was included in original 2012 report filing:

To simplify the organization of the report, and to make yearly updates easier, under Part VII, for investment accounts with multiple investments within, the investment firm name and partial account number is listed first preceded with four (4) asterisks, with the underlying investments listed in the lines thereafter, preceded by a hyphen, as shown below:

****Account Name [REDACTED]

-Large Cap Fund

-Small Cap Fund

-Mid Cap Fund

Two trusts referred to in this report are as follow:

1. [REDACTED] Trust: [REDACTED] Trust was created [REDACTED] on December 15, 1976. It became irrevocable on her death in 1990 and divided into three shares. The trustee has discretion to pay the income and principal [REDACTED].

2. [REDACTED] 1976 Trust: [REDACTED] 1976 Trust was formed [REDACTED] in 1976 and became irrevocable on his death in 1987. On his death the property was divided into equal shares [REDACTED]. The trustee has discretion to pay some or all of the net income or principal of my share to [REDACTED]. The trust terminates on the death of [REDACTED], the remainder going to [REDACTED].

3. The income of both trusts was paid by the trustee in 2010 to [REDACTED], [REDACTED]. At the request of the Committee on Financial Disclosure, I have summarized the reports I have received.

In April 2000, Fleet Bank acquired the Bank of Boston, and then Bank of America acquired Fleet, and became the trustee of the above trusts. The trusts were also subdivided into distinct trusts for each of [REDACTED] of the grantors, so that there is now a distinct trust for [REDACTED] under the same trust instruments. Report is not made here of the sales of odd lots (typically one or two shares) made to make it easier to divide the trusts into thirds.

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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/ **John T. Noonan, Jr.**

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