

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Tallman, Richard C.	2. Court or Organization U.S. Court of Appeals, Ninth Circuit	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active United States Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address William K. Nakamura United States Courthouse 1010 Fifth Avenue, Suite 902 Seattle, Washington 98104-1130		
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	Northwestern University School of Law Advisory Board
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.	

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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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2013	Washington State Department of Retirement Systems
2. 2013	Prudential Deferred Compensation Mutual Funds
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Northwestern University Law School	March 7-9, 2013	Chicago, IL	Law School Moot Court Judge	Transportation, Lodging, Meals
2. Santa Clara University School of Law	April 4-5, 2013	Santa Clara, CA	Moot Court Judge	Transportation, Lodging, Meals
3. Benton Franklin County Bar Association	May 9-10, 2013	Richland, WA	7th Annual Federal Civil Trial Practice Seminar Presenter/Speaker	Transportation, Lodging, Meals
4. Eastern District Washington Federal Bar Association	September 5-6, 2013	Spokane, WA	Federal Bar Association Annual District Conference and CLE Presenter/Speaker	Transportation, Lodging, Meals

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5.	University of Idaho School of Law	November 1-3, 2013	Moscow, ID	Law School Moot Court Judge	Transportation, Lodging, Meals
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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. Prudential Deferred Compensation Mutual Funds:		None	M	T					
2. - PIMCO Total Return Instl. Fund			K	T					
3. -Dodge & Cox Stock Fund (X)			K	T					
4. - Hotchkis & Wiley Sm. Cap. Val. I (X)			K	T					
5. - American Funds EuroPac Gr R5 (X)			J	T					
6. Wells Fargo Bank Checking/Savings accts	A	Interest	J	T					
7. Seattle City Credit Union, checking & savings accounts	A	Interest	J	T					
8. JPMorgan Chase Bank Checking/Savings Accts	A	Interest	J	T					
9. Vanguard Group Funds:	E	Dividend	O	T					
10. - Vanguard 500 Index (See Part VIII, note 1)	D	Dividend	M	T	Sold (part)	08/07/13	K		
11. - Vanguard Explorer	D	Dividend	M	T					
12. - Vanguard PRIMECAP Core	B	Dividend	K	T					
13. - Vanguard High-Yield Corporate	A	Dividend	L	T					
14. - Vanguard International Growth (See Part VIII, note 1)	D	Dividend	L	T	Sold (part)	08/07/13	J		
15. - Vanguard Short Term Inv Grade	B	Dividend	N	T					
16. Aetna Universal Life Ins.		None	K	T					
17. Bank of America, Checking & Savings Accounts	A	Interest	J	T					

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

1. Part VII, lines 10 & 14: Portion of portfolio sold and reallocated to Vanguard Short Term Investment Grade Fund.

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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/ **Richard C. Tallman**

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