

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 06/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge - Active	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 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.		

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 Directors, 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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	State of California Judge's Retirement System	\$17,387.00
2. 2013	Raymond James & Assoc - IRA	\$1,138.00
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.)*

DATE	SOURCE AND TYPE
1. 2013	Los Angeles Community College District - Salary
2. 2013	CA Public Employees Retirement System
3. 2013	CA State Teachers Retirement System
4. 2013	Raymond James & Associates IRA
5. 2013	Wells Fargo IRA

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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Lot [redacted], Oxnard Shores, CA (1964)		None	O	W					
2. Lot [redacted], Oxnard Shores, CA (1964)		None	O	W					
3. Lot [redacted], Woodland Hills, CA		None	O	W					
4. Ltd Partnership Interest-Penn Cal Investors, Pittsburgh,PA	G	Rent	O	U					
5. CGM403(B) Custodian UIPL LA Community College (H)									
6. - CG Capital Markets Money Market Fund	A	Dividend			Closed	03/31/13	K		
7. - CG Capital Markets Core Fixed Income Fund	A	Dividend			Buy (add'l)	03/08/13	L		
8.					Sold	03/18/13	L	A	
9. - CG Capital Markets Lg Capital Value Investments	A	Dividend			Sold	03/18/13	M	E	
10. - CG Capital Markets Sm Capital Value Investments	A	Dividend			Buy (add'l)	03/08/13	J		
11.					Sold	03/18/13	K	B	
12. - CG Capital Markets Emerging Markets Investments	A	Dividend			Sold	03/18/13	L	B	
13. - CG Capital Markets International Fixed Income Investments	A	Dividend			Sold	03/18/13	L	A	
14. - CG Capital Markets International Equity Investments	A	Dividend			Buy (add'l)	03/08/13	K		
15.					Sold	03/18/13	M	D	
16. - CG Capital Markets Lg Cap Growth Investment	A	Dividend			Sold	03/18/13	M	E	
17. - CG Capital Markets Sm Capital Growth Investments	A	Dividend			Buy (add'l)	03/08/13	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 (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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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	03/18/13	K	D	
19. CG Capital markets High Yield Investments	A	Dividend			Sold	03/08/13	K	B	
20. Morgan Stanley Joint A/C (H)									
21. Chase cash accounts	A	Interest	L	T					
22. - CG Capital Markets International Equity Investments	A	Dividend			Sold	03/06/13	L	D	
23. - CG Capital Markets Lg Cap Growth Investment	A	Dividend			Sold	03/06/13	M	E	
24. - Citicorp Trust Bank	A	Interest			Distributed	03/06/13	J		
25. - CG Capital Markets - Money Market	A	Interest			Distributed	03/06/13	J		
26. - CG Capital Markets Core Fixed Income	A	Dividend			Sold	03/06/13	K	A	
27. - CG Capital Markets Lg Capital Value Investments	A	Dividend			Sold	03/06/13	M	E	
28. - CG Capital Markets Sm Capital Value Investments	A	Dividend			Sold	03/06/13	J	B	
29. - CG Capital Markets Emerging Markets Investments	A	Dividend			Sold	03/06/13	L	C	
30. - CG Capital Markets International Fixed Income Investments	A	Dividend			Sold	03/06/13	K	B	
31. - CG Capital Markets Sm Capital Growth Investments	A	Dividend			Sold	03/06/13	K	D	
32. Wells Fargo Joint (H)									
33. Wells Fargo Money Market	A	Interest	N	T	Open	03/13/13	N		
34. Bank of India NY CD	A	Interest			Redeemed	05/08/13	M		

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	
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	(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. Discover Bank Greenwood DE CD	B	Interest	M	T					
36. CG Capital Markets High Yield Investments	A	Dividend			Sold	03/06/13	K	B	
37.									
38. Northern Trust (H)									
39. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	T					
40. - MFB NTHN CA Mun Money Mkt	A	Interest	M	T					
41. Raymond James (H)									
42. - JP Morgan Chase & Co. Notes	B	Interest	K	T					
43. - Microsoft Coporation Stock	B	Dividend	K	T					
44. - American Express MM	A	Interest			Distributed	06/30/13	L		
45. - Seadrill Limited Corporate Stock	D	Dividend	L	T					
46. Regions Bank Money Market	A	Interest			Distributed	06/30/13	M		
47. Goldman Sachs Bank USA	A	Interest	M	T	Open	06/30/13	M		
48. Raymond James Money Market	A	Interest	M	T	Open	06/30/13	M		
49. Citibank Money Market	A	Interest			Distributed	06/30/13	J		
50. Raymond James IRA #1: Raymond James Bank	A	Dividend			Distributed	12/31/13	J		
51. Raymond James IRA #2: Raymond James Bank	A	Interest	J	T	Distributed (part)	12/31/13	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	
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52. Raymone James IRA #2: Seadrill Ltd Stock	A	Dividend	J	T					
53. Harry Pregerson 1996 Irrevocable Trust (H)									
54. - US Bank cash account	A	Interest	J	T					
55. - Janus Fund	A	Dividend	J	T					
56. Capital One (was Ing Direct - Orange Savings)	A	Interest	M	T					
57. City National Bank (H)									
58. CD/Money Market	A	Interest	P1	T					
59. - Checking Accts	A	Interest	J	T					
60. Janus Money Market Fund D	A	Int./Div.	N	T					
61. Wells Fargo Bank cash account	A	Interest	N	T					
62. Vanguard 403(B)7 A/C Total Bond Mkt Index Inv	B	Dividend			Distributed	10/04/13	L		
63. Chase (H)									
64. JP Morgan Trust II Liquid Assets	A	Dividend	J	T					
65. SPDR S&P 500 ETF TR	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
66.					Sold (part)	05/23/13	J	A	
67. Vanguard Sector Index Funds	A	Dividend			Sold	05/03/13	J	A	
68. Blackrock Funds II US	A	Dividend	J	T	Buy (add'l)	05/03/13	J		

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69.					Buy (add'l)	10/07/13	J		
70. Cohen & Steers Realty (X)	A	Dividend	J	T					
71. Delaware Group Emerging Market Funds	A	Dividend	J	T					
72. Dreyfus Emerging Markets	A	Dividend			Buy	05/03/13	J		
73.					Sold	10/3/13	J	A	
74. Federated Institutional High Yield Bond Fund	A	Dividend	J	T					
75. Goldman Sachs Emerging Market Debt Fund	A	Dividend	J	T					
76. John Hancock Income Fund	A	Dividend	J	T	Buy	05/03/13	J		
77. Oakmark Fund	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
78. Ishares Trust Russell 2000 Index	A	Dividend	J	T	Buy	05/03/13	J		
79. Ishares MSCI EAFE (X)	A	Dividend	J	T					
80. JP Morgan Trust I US Equity Fund Select Cl	A	Dividend	J	T	Buy (add'l)	05/03/13	J		
81. JP Morgan Trust II Core Bond Fund Select Cl	A	Dividend	J	T	Buy (add'l)	02/07/13	J		
82.					Sold (part)	05/03/13	J	A	
83.					Sold (part)	05/23/13	J	A	
84.					Sold (part)	07/10/13	J	A	
85.					Sold (part)	08/09/13	J	A	

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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	
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86.					Sold (part)	09/06/13	J	A	
87. JP Morgan Trust I MidCap Equity Fund Select CI	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
88. JP Morgan Trust II High Yield Select CI	A	Dividend	J	T					
89. JP Morgan Short Duration Bond Fund Select CI	A	Dividend	J	T	Buy (add'l)	05/23/13	J		
90.					Buy (add'l)	07/10/13	J		
91.					Buy (add'l)	08/09/13	J		
92.					Buy (add'l)	09/06/13	J		
93.					Sold (part)	02/07/13	J	A	
94. JP Morgan Trust I Int'l Value Fund Select CI	A	Dividend	J	T	Sold (part)	05/03/13	J	A	
95. JP Morgan Trust I Emerging Mkts Equity Fund Select	A	Dividend	J	T					
96. MFS Ser Tr X Emerging Market Debt Fund Class I	A	Dividend	J	T					
97. MGS Research International Fund	A	Dividend	J	T	Buy	05/03/13	J		
98. Massachusetts Investors Trust	A	Dividend	J	T	Buy	05/03/13	J		
99. PIMCO Short Term Fund Institutional	A	Dividend	J	T	Buy	08/09/13	J		
100.					Buy (add'l)	09/09/13	J		
101. PIMCO Total Return Fund Institutional	A	Dividend	J	T	Buy	05/03/13	J		
102.					Sold (part)	08/09/13	J	A	

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103.									
104.									
105. T Rowe Price New Income Fund Inc	A	Dividend	J	T	Buy (add'l)	02/07/13	J		
106.					Sold (part)	05/03/13	J	A	
107.					Sold (part)	05/23/13	J	A	
108.					Sold (part)	07/10/13	J	A	
109.					Sold (part)	08/09/13	J	A	
110.					Sold (part)	09/06/13	J	A	
111. Thornburg Intl Value Fund Class I	A	Dividend	J	T					
112. Transamerica High Yield Bond Fund X)	A	Dividend	J	T					
113. Vanguard Bond Index Fund	A	Dividend	J	T	Buy	05/23/13	J		
114.					Buy (add'l)	07/10/13	J		
115.					Buy (add'l)	08/09/13	J		
116. Wells Fargo IRA (H)									
117. Energy Select Sector SPDR	A	Dividend	K	T	Buy	03/28/13	K		
118.					Sold (part)	12/19/13	J	A	
119. Financial Select Sector SPDR	A	Dividend	K	T	Buy	03/28/13	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 \$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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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)
120.					Buy (add'l)	10/08/13	J		
121.					Sold (part)	12/19/13	J	A	
122. Industrial Select Sector SPDR	A	Dividend	K	T	Buy	03/28/13	K		
123.					Buy (add'l)	10/08/13	J		
124.					Sold (part)	12/19/13	J	A	
125. Ishares Core S&P Midcap	B	Dividend	M	T	Buy	03/28/13	M		
126.					Buy (add'l)	10/08/13	J		
127.					Sold (part)	12/19/13	J	A	
128. Ishares Core S&P Smallcap	B	Dividend	M	T	Buy	03/28/13	M		
129.					Buy (add'l)	10/08/13	J		
130.					Sold (part)	11/08/13	J	A	
131.					Sold (part)	12/19/13	J	A	
132. Ishares MSCI Indonesia Investable Market Index Fund	A	Dividend			Buy	03/28/13	J		
133.					Sold	10/08/13	J	A	
134. Ishares MSCI Malaysia Index Fund	A	Dividend	K	T	Buy	03/28/13	J		
135. Ishares MSCI Australia	A	Dividend			Buy	10/08/13	J		
136.					Sold	11/08/13	J	A	

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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Pregerson, Harry

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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)
137. Ishares MSCI Germany	A	Dividend	K	T	Buy	10/08/13	K		
138.					Buy (add'l)	11/08/13	J		
139.					Sold (part)	12/19/13	J	A	
140. Ishares MSCI Eafe Index Fund	A	Dividend	J	T	Buy	03/28/13	K		
141.					Sold (part)	10/08/13	J	A	
142. Ishares MSCI Mexico Capped Investable Market Fund	A	Dividend	K	T	Buy	03/28/13	K		
143.					Buy (add'l)	10/08/13	J		
144.					Buy (add'l)	11/08/13	J		
145.					Sold (part)	12/19/13	J	A	
146. Ishares MSCI Hong Kong	A	Dividend			Buy	10/08/13	J		
147.					Sold	11/08/13	J	A	
148. Ishares MSCI Japan	A	Dividend	K	T	Buy	10/08/13	K		
149. Ishares MSCI South Korea Capped Index Fund	A	Dividend	J	T	Buy	03/28/13	J		
150.					Sold (part)	10/08/13	J	A	
151. Ishares MSCI United Kingdom Index Fund	A	Dividend	K	T	Buy	03/28/13	K		
152.					Sold (part)	10/08/13	J	A	
153. Ishares S&P North America Tech. Networking Index	A	Dividend	J	T	Buy	03/28/13	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	

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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)
154. Powershares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy	03/28/13	K		
155.					Sold (part)	10/08/13	J	A	
156. Select Sector SPDR Consumer Staples	A	Dividend	J	T	Buy	03/28/13	J		
157.					Buy (add'l)	10/08/13	J		
158. Select Sector SPDR Fd. Materials	A	Dividend	J	T	Buy	03/28/13	J		
159.					Sold (part)	12/19/13	J	A	
160. Select Sector SPDR Fd Health Care	A	Dividend	K	T	Buy	03/28/13	K		
161.					Buy (add'l)	10/08/13	J		
162.					Sold (part)	12/19/13	K	A	
163. Select Sector SPDR Fd Consumer Discretionary	A	Dividend	K	T	Buy	03/28/13	K		
164.					Buy (add'l)	10/08/13	J		
165.					Sold (part)	12/19/13	J	A	
166. SPDR Euro StoXX 50	A	Dividend	K	T	Buy	03/28/13	K		
167.					Buy (add'l)	11/08/13	J		
168.					Sold (part)	12/19/13	J	A	
169. SPDR S&P Bank	A	Dividend	J	T	Buy	03/28/13	J		
170. SPDR S&P 500 Trust	A	Dividend			Buy	10/08/13	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 \$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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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)
171.					Sold	11/08/13	K	A	
172. SPDR S&P Retail	A	Dividend	J	T	Buy	03/28/13	J		
173.					Buy (add'l)	10/08/13	J		
174.					Sold (part)	12/19/13	J	A	
175. Vanguard Telecommunications Svc	A	Dividend	J	T	Buy	03/28/13	J		
176. Vanguard Info. Technology	A	Dividend	K	T	Buy	03/28/13	K		
177.					Buy (add'l)	10/08/13	J		
178.					Sold (part)	11/08/13	J	A	
179.					Sold (part)	12/19/13	J	A	
180. Vanguard International Equity Index Funds Emerging Markets	A	Dividend	K	T	Buy	03/28/13	K		
181.					Sold (part)	10/08/13	J	A	
182. Vanguard Developed markets	B	Dividend	K	T	Buy	03/28/13	L		
183.					Sold (part)	10/08/13	K	A	
184.					Sold (part)	12/19/13	J	A	
185. Vanguard REIT	A	Dividend	J	T	Buy	03/28/13	J		
186. Wells Fargo Money Market Treas Oblig Fund	A	Dividend			Buy	03/28/13	J		
187.					Sold (part)	05/16/13	J	A	

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	

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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)
188.					Sold	10/08/13	J	A	
189. Egshares Emerging Markets Consumer	A	Dividend	J	T	Buy	10/08/13	J		
190. Wells Fargo cash	A	Interest	K	T	Open	03/28/13	J		
191. Wells Fargo Joint Account (H)									
192. Energy Select Sector SPDR	A	Dividend	K	T	Buy	03/21/13	J		
193.					Buy (add'l)	03/25/13	J		
194.					Buy (add'l)	03/26/13	J		
195. Egshares Energy Markets	A	Dividend	J	T	Buy	10/08/13	J		
196. Financial Select Sector SPDR	A	Dividend	K	T	Buy	03/21/13	J		
197.					Buy (add'l)	03/25/13	J		
198.					Buy (add'l)	03/26/13	J		
199. Industrial Select Sector SPDR	A	Dividend	K	T	Buy	03/21/13	J		
200.					Buy (add'l)	03/25/13	J		
201.					Buy (add'l)	03/26/13	J		
202. Ishares Core S& P Midcap	B	Dividend	M	T	Buy	03/21/13	K		
203.					Buy (add'l)	03/25/13	K		
204.					Buy (add'l)	03/26/13	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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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)
205. Ishares Core S&P Smallcap	B	Dividend	M	T	Buy	03/21/13	L		
206.					Buy (add'l)	03/25/13	K		
207.					Buy (add'l)	03/26/13	K		
208.					Sold (part)	11/08/13	K	A	
209. Ishares MSCI Australia	A	Dividend			Buy	10/08/13	J		
210.					Sold	11/08/13	J	A	
211. Ishares MSCI Germany	A	Dividend	K	T	Buy	10/08/13	K		
212.					Buy (add'l)	11/08/13	J		
213. Ishares MSCI Hong Kong	A	Dividend			Buy	10/08/13	J		
214.					Sold	11/08/13	J	A	
215. Ishares MSCI Indonesia	A	Dividend			Buy	03/21/13	J		
216.					Buy (add'l)	03/25/13	J		
217.					Buy (add'l)	03/26/13	J		
218.					Sold	10/08/13	J	A	
219. Ishares MSCI Japan	A	Dividend	J	T	Buy	10/08/13	J		
220. Ishares MSCI Malaysia Index Fund	A	Dividend	J	T	Buy	03/21/13	J		
221.					Buy (add'l)	03/25/13	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 (See Columns C1 and D3)	F ~\$50,001 - \$100,000 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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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)
222.					Buy (add'l)	03/26/13	J		
223. Ishares MSCI EAFE Index Fund	A	Dividend	J	T	Buy	03/21/13	J		
224.					Buy (add'l)	03/25/13	J		
225.					Buy (add'l)	03/26/13	J		
226.					Sold (part)	10/08/13	J	A	
227. Ishares MSCI Mexico Capped	A	Dividend	K	T	Buy	03/21/13	J		
228.					Buy (add'l)	03/25/13	J		
229.					Buy (add'l)	03/26/13	J		
230.					Buy (add'l)	10/08/13	J		
231. Ishares MSCI S. Korea Capped Index	A	Dividend	J	T	Buy	03/21/13	J		
232.					Buy (add'l)	03/25/13	J		
233.					Buy (add'l)	03/26/13	J		
234.					Sold (part)	10/08/13	J	A	
235. Ishares MSCI United Kingdom Index Fund	A	Dividend	K	T	Buy	03/21/13	J		
236.					Buy (add'l)	03/25/13	J		
237.					Buy (add'l)	03/26/13	J		
238.					Sold (part)	10/08/13	J	A	

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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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)

239. Ishares S&P N. Am. Tech.	A	Dividend	J	T	Buy	03/21/13	J		
240.					Buy (add'l)	03/26/13	J		
241. Powershares DB Commodity Index Tracking	A	Dividend	J	T	Buy	03/21/13	J		
242.					Buy (add'l)	03/25/13	J		
243.					Buy (add'l)	03/26/13	J		
244.					Sold (part)	10/08/13	J	A	
245. Select Sector SPDR TR Consumer Staples	A	Dividend	J	T	Buy	03/21/13	J		
246.					Buy (add'l)	03/25/13	J		
247.					Buy (add'l)	03/26/13	J		
248. Select Sector SPD Fd Materials	A	Dividend	J	T	Buy	03/21/13	J		
249.					Buy (add'l)	03/25/13	J		
250.					Buy (add'l)	03/26/13	J		
251. Select Sector SPDR Fd Health Care	A	Dividend	K	T	Buy	03/21/13	J		
252.					Buy (add'l)	03/25/13	J		
253.					Buy (add'l)	03/26/13	J		
254. Select Sector SPDR Fd Consumer Discretionary	A	Dividend	K	T	Buy	03/21/13	J		
255.					Buy (add'l)	03/25/13	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	

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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)

256.					Buy (add'l)	03/26/13	J		
257. SPDR Euro StoXX 50	A	Dividend	K	T	Buy	03/21/13	J		
258.					Buy (add'l)	03/25/13	J		
259.					Buy (add'l)	03/26/13	J		
260.					Buy (add'l)	11/08/13	J		
261. SPDR S&P Bank	A	Dividend	J	T	Buy	03/21/13	J		
262.					Buy (add'l)	03/25/13	J		
263.					Buy (add'l)	03/26/13	J		
264. SPDR S&P 500 Trust	A	Dividend			Buy	10/08/13	J		
265.					Sold	11/08/13	J	A	
266. SPDR S&P Retail	A	Dividend	J	T	Buy	03/21/13	J		
267.					Buy (add'l)	03/25/13	J		
268.					Buy (add'l)	03/26/13	J		
269. Vanguard Telecommunication Services	A	Dividend	J	T	Buy	03/21/13	J		
270. Vanguard Information Technology	A	Dividend	K	T	Buy	03/21/13	J		
271.					Buy (add'l)	03/25/13	J		
272.					Buy (add'l)	03/26/13	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	

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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)

273. Vanguard International Equity Index Fd Emerging	A	Dividend	K	T	Buy	03/21/13	J		
274.					Buy (add'l)	03/25/13	J		
275.					Buy (add'l)	03/26/13	J		
276.					Sold (part)	10/08/13	J	A	
277. Vanguard Developed Markets	B	Dividend	K	T	Buy	03/21/13	K		
278.					Buy (add'l)	03/25/13	J		
279.					Buy (add'l)	03/26/13	J		
280.					Sold (part)	10/08/13	J	A	
281. Vanguard REIT	A	Dividend	J	T	Buy	03/21/13	J		
282.					Buy (add'l)	03/25/13	J		
283.					Buy (add'l)	03/26/13	J		
284. Wells Fargo Money Market	A	Dividend	K	T	Open	03/21/13	J		
285.									
286.									
287.									

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	

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

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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
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Washington, D.C. 20544