

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) REINHARDT, STEPHEN R.	2. Court or Organization US COURT OF APPEALS - 9TH CIRCUIT	3. Date of Report 07/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US CIRCUIT 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 312 NORTH SPRING STREET ROOM 1747 LOS ANGELES, CA 90012		
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.	TRUSTEE	TRUST #1 - [REDACTED] TRUST - EXEMPT C
2.	TRUSTEE	TRUST #2 - [REDACTED] TRUST - NON-EXEMPT C
3.	TRUSTEE	TRUST #3 - [REDACTED] LIVING TRUST DTD 4/21/95
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.		
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	ACLU FOUNDATION OF SO CALIFORNIA - CONSULTING FEES
2. 2013	AMERICAN CIVIL LIBERTIES UNION INC OF SO CALIFORNIA -CONSULTING FEES
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. GEORGETOWN UNIVERSITY LAW CENTER	04/13/13 - 04/17/13	WASHINGTON D.C.	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, LODGING
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. BROKER ACCT #1 - STONNINGTON									
2. - FEDERATED CLOVER VALUE FD CL C 1	A	Dividend	K	T	Sold (part)	01/03/13	J	B	
3.					Sold (part)	04/11/13	J	C	
4. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 1	A	Interest	J	T					
5. CITY NATIONAL BANK CHECKING		None	J	T					
6. UNION BANK CHECKING		None	J	T					
7. JOHN HANCOCK LIFE INS CO. - ANNUITY	D	Int./Div.	L	W					
8. SYMETRA LIFE INS CO - ANNUITY	E	Distribution			Distributed	02/11/13	K	E	
9. IRA - ACCT #7 - STONNINGTON	B	Int./Div.	L	T					
10. - PERSHING GOVT MONEY MARKET FUNDS 7									
11. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Buy (add'l)	11/20/13	J		
12.					Sold (part)	12/23/13	J	A	
13. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	11/20/13	J	A	
14. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Sold (part)	11/20/13	J	A	
15. - MSIF INC INTERNATIONAL FUND 7					Sold (part)	11/20/13	J	A	
16. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND 7					Buy (add'l)	12/23/13	J		
17. - ISHARES TR BARCLAYS TIPS BD FD 7					Buy (add'l)	11/20/13	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 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	

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☐ 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.					Buy (add'l)	12/23/13	J		
19. - GATEWAY FUND CLASS Y 7					Sold (part)	11/20/13	J	A	
20. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy (add'l)	11/20/13	J		
21.					Sold	12/23/13	J	A	
22. - DRIEHAUS ACTIVE INCOME FUND 7					Sold (part)	11/20/13	J	A	
23. - DRIEHAUS SELECT CREDIT FUND 7					Sold (part)	11/20/13	J	A	
24. - AQR DIVERSIFIED ARBITRAGE FUND 7									
25. - WASATCH LONG/SHORT FUND 7					Sold (part)	11/20/13	J	A	
26. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	11/20/13	J	A	
27. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	12/23/13	J	A	
28. - TCW EMERGING MARKETS FUND 7									
29. - VIRTUS EMERGING MARKETS FUND 7					Buy (add'l)	12/23/13	J		
30. - AMERICAN CENTURY MID CAP VALUE FUND 7					Sold (part)	11/20/13	J	A	
31. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 7					Sold (part)	11/20/13	J	A	
32. - AQR MANAGED FUTURES STRATEGY FUND 7					Buy	12/23/13	J		
33. - LEGG MASON BW ABSOLUTE RETURN FUND 7					Buy	12/23/13	J		
34. - RIVERNORTH DOUBLE LINE STRATEGIC INC FUND 7					Buy	12/23/13	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	
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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 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. DEFERRED SALARY PLAN/TRUST - ACLU - ACCT #8 - M/LYNCH	E	Distribution	N	T					
36. BROKER ACCT #3 - STONNINGTON									
37. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 3	A	Int./Div.	J	T					
38. - AQR DIVERSIFIED ARBITRAGE FUND 3	A	Dividend	J	T	Buy (add'l)	12/13/13	J		
39.					Sold (part)	06/26/13	J	A	
40. - AQR MANAGED FUTURES STRATEGY FD 3	A	Dividend	K	T	Buy	12/16/13	K		
41. - DRIEHAUS SELECT CREDIT FUND 3	A	Dividend	K	T	Sold (part)	06/26/13	J	A	
42.					Sold (part)	12/12/13	J	A	
43. - DRIEHAUS ACTIVE INCOME FUND 3	A	Dividend	K	T	Sold (part)	06/26/13	J	A	
44.					Sold (part)	12/12/13	J	A	
45. - GATEWAY FUND CLASS Y 3	A	Dividend	L	T	Buy (add'l)	05/09/13	J		
46.					Sold (part)	06/26/13	J	A	
47.					Sold (part)	09/27/13	J	A	
48.					Sold (part)	12/12/13	J	A	
49. - LEGG MASON BW ABSOLUTE RETURN FUND 3	A	Dividend	J	T	Buy	12/13/13	J		
50. - MSIF INC INTERNATIONAL FUND 3	A	Dividend	K	T	Buy (add'l)	06/26/13	J		
51.					Sold (part)	05/09/13	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	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.					Sold (part)	07/30/13	J	A	
53.					Sold (part)	09/27/13	J	A	
54.					Sold (part)	10/30/13	J	A	
55. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3	A	Interest	J	T	Buy (add'l)	12/12/13	J		
56. - PRINCETON FUTURES STRATEGY FUND CLASS 3	A	Dividend			Buy (add'l)	05/09/13	J		
57.					Buy (add'l)	07/30/13	J		
58.					Buy (add'l)	09/27/13	J		
59.					Sold	12/12/13	K	A	
60. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3	A	Dividend	J	T	Sold (part)	05/09/13	J	A	
61.					Sold (part)	07/30/13	J	A	
62.					Sold (part)	09/27/13	J	A	
63. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3	A	Dividend	J	T	Sold (part)	12/12/13	J	A	
64. - TCW EMERGING MARKETS FUND 3	A	Dividend	J	T					
65. - THE TAX EXEMPT BOND FUND OF AMERICA 3	A	Interest	J	T	Buy (add'l)	05/09/13	J		
66.					Buy (add'l)	06/26/13	J		
67.					Sold (part)	12/12/13	K	A	
68. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3	A	Interest	J	T	Buy (add'l)	05/09/13	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	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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69.					Buy (add'l)	07/30/13	J		
70.					Sold (part)	09/27/13	J	A	
71.					Sold (part)	12/12/13	K	A	
72. - WASATCH LONG/SHORT FUND 3	A	Dividend	K	T	Buy (add'l)	12/12/13	J		
73.					Sold (part)	05/09/13	J	A	
74.					Sold (part)	06/26/13	J	A	
75.					Sold (part)	09/27/13	J	A	
76.					Sold (part)	10/30/13	J	A	
77. - ISHARES TR BARCLAYS TIPS BD FD 3	A	Dividend	J	T	Buy (add'l)	05/09/13	J		
78.					Buy (add'l)	06/26/13	J		
79. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND 3	A	Dividend	J	T	Buy (add'l)	12/17/13	J		
80. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3	A	Dividend	K	T	Sold (part)	05/09/13	J	A	
81.					Sold (part)	06/26/13	J	A	
82.					Sold (part)	07/30/13	J	A	
83.					Sold (part)	09/27/13	J	A	
84.					Sold (part)	10/30/13	J	A	
85. - VIRTUS EMERGING MARKETS FUND 3	A	Dividend	J	T					

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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. - AMERICAN CENTURY MID CAP VALUE FUND 3	A	Dividend	J	T	Sold (part)	05/09/13	J	A	
87.					Sold (part)	07/30/13	J	A	
88.					Sold (part)	10/30/13	J	A	
89. - RIVERNORTH DOUBLE LINE STRATEGIC INC FUND 3	A	Dividend	J	T	Buy	12/13/13	J		
90. - SCHWAB FUNDMNTL U.S. LARGE CO FUND 3	A	Dividend	K	T	Sold (part)	05/09/13	J	A	
91.					Sold (part)	06/26/13	J	A	
92.					Sold (part)	07/30/13	J	A	
93.					Sold (part)	10/30/13	J	A	
94. BANK OF THE WEST CHECKING	A	Interest	K	T					
95. CHASE CHECKING		None	K	T					
96. CHASE SAVINGS	A	Interest	J	T					
97. NATIONWIDE ACHIEVER ANNUITY		None	N	T					
98. TRUST #1 - EXEMPT C	F	Int./Div.	P1	W					See Note 1
99. - FDIC LIQUID INSURED DEPOSITS									
100. - AQR DIVERSIFIED ARBITRAGE FUND					Buy (add'l)	12/12/13	J		
101.					Buy (add'l)	12/26/13	J		
102.					Sold (part)	04/10/13	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
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103.					Sold (part)	08/27/13	K	A	
104. - DRIEHAUS SELECT CREDIT FUND ██████					Buy (add'l)	12/12/13	J		
105.					Sold (part)	04/10/13	J	A	
106.					Sold (part)	08/27/13	K	A	
107. - DRIEHAUS ACTIVE INCOME FUND ██████					Buy (add'l)	12/12/13	J		
108.					Sold (part)	04/10/13	J	A	
109.					Sold (part)	08/27/13	K	A	
110. - GATEWAY FUND CLASS Y ██████					Sold (part)	04/10/13	K	B	
111.					Sold (part)	08/27/13	L	D	
112. - ISHARES TR BARCLAYS TIPS BD FD ██████					Buy (add'l)	12/12/13	J		
113.					Sold (part)	08/27/13	J	A	
114. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND ██████					Buy (add'l)	12/12/13	K		
115.					Sold (part)	04/10/13	J	A	
116.					Sold (part)	08/27/13	J	A	
117. - MSIF INC INTERNATIONAL FUND ██████					Buy (add'l)	12/17/13	J		
118.					Sold (part)	04/10/13	K	C	
119.					Sold (part)	08/27/13	K	C	

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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REINHARDT, STEPHEN R.

Date of Report

07/24/2014

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. - PRINCETON FUTURES STRATEGY FUND CLASS [REDACTED]					Sold (part)	04/10/13	J	A	
121.					Sold (part)	08/27/13	K	A	
122.					Sold (part)	12/12/13	L	A	
123. - NUVEEN LIMITED TERM MUNI BOND CLASS A [REDACTED]					Buy (add'l)	12/12/13	K		
124.					Sold (part)	04/10/13	J	A	
125.					Sold (part)	08/27/13	J	A	
126. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND [REDACTED]					Buy (add'l)	12/18/13	J		
127.					Sold (part)	04/10/13	J	B	
128.					Sold (part)	08/27/13	K	D	
129. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND [REDACTED]					Sold (part)	04/10/13	J	A	
130.					Sold (part)	08/27/13	J	A	
131. - TCW EMERGING MARKETS FUND [REDACTED]					Sold (part)	04/10/13	K	C	
132.					Sold (part)	08/27/13	J	A	
133. - THE TAX EXEMPT BOND FUND OF AMERICA [REDACTED]					Sold (part)	08/27/13	K	A	
134.					Sold (part)	12/12/13	L	B	
135. - VANGUARD SPECIALIZED PORT DIV APPREC FUND [REDACTED]					Sold (part)	04/10/13	K	D	
136.					Sold (part)	08/27/13	L	D	

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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REINHARDT, STEPHEN R.

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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.					Sold (part)	12/12/13	J	B	
138. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND [REDACTED]					Sold (part)	08/27/13	K	A	
139.					Sold (part)	12/12/13	L	A	
140. - WASATCH LONG/SHORT FUND [REDACTED]					Buy (add'l)	12/30/13	J		
141.					Sold (part)	04/10/13	J	B	
142.					Sold (part)	08/27/13	K	C	
143.					Sold (part)	12/12/13	J	A	
144. - VIRTUS EMERGING MARKETS FUND [REDACTED]					Sold (part)	04/10/13	J	A	
145.					Sold (part)	08/27/13	J	A	
146. - AMERICAN CENTURY MID CAP VALUE FUND [REDACTED]					Buy (add'l)	12/09/13	J		
147.					Sold (part)	04/10/13	J	B	
148.					Sold (part)	08/27/13	K	B	
149. - SCHWAB FUNDMNTL U.S. LARGE CO FUND [REDACTED]					Sold (part)	04/10/13	K	C	
150.					Sold (part)	08/27/13	K	C	
151. - AQR MANAGED FUTURES STRATEGY FUND [REDACTED]					Buy	12/23/13	L		
152. - LEGG MASON BW ABSOLUTE RETURN FUND [REDACTED]					Buy	12/12/13	K		
153. - RIVERNORTH DOUBLE LINE STRATEGIC INC FUND [REDACTED]					Buy	12/12/13	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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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

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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. - ACACIA PARTNERS, L.P.									See Note 1
155. - POETIC LICENSE PARTNERS, LP									See Note 1
156. - CITY NATIONAL BANK CHECKING [REDACTED]					Closed				
157. TRUST #2 - NON-EXEMPT C [REDACTED]	A	Int/Div.	M	T					
158. - FDIC LIQUID INSURED DEPOSITS [REDACTED]									
159. - CITY NATIONAL BANK CHECKING [REDACTED]					Closed				
160. TRUST #3 - LVG TRUST [REDACTED]	D	Int/Div.	N	T					
161. - FDIC LIQUID INSURED DEPOSITS [REDACTED]									
162. - FDIC LIQUID INSURED DEPOSITS [REDACTED] (X)									
163. - AQR DIVERSIFIED ARBITRAGE FUND [REDACTED]					Buy (add'l)	12/12/13	J		
164.					Sold (part)	06/11/13	J	A	
165.					Sold (part)	08/27/13	J	A	
166. - AQR MANAGED FUTURES STRATEGY FUND [REDACTED]					Buy	12/12/13	K		
167. - DRIEHAUS SELECT CREDIT FUND [REDACTED]					Buy (add'l)	12/12/13	J		
168.					Sold (part)	06/11/13	J	A	
169.					Sold (part)	08/27/13	J	A	
170. - DRIEHAUS ACTIVE INCOME FUND [REDACTED]					Buy (add'l)	12/12/13	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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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

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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 (part)	06/11/13	J	A	
172.					Sold (part)	08/27/13	J	A	
173. - GATEWAY FUND CLASS Y					Sold (part)	06/11/13	J	A	
174.					Sold (part)	08/27/13	J	A	
175. - ISHARES TR BARCLAYS TIPS BD FD					Buy (add'l)	06/11/13	J		
176.					Buy (add'l)	12/12/13	J		
177.					Sold (part)	08/27/13	J	A	
178. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND					Buy (add'l)	12/12/13	J		
179.					Sold (part)	08/27/13	J	A	
180. - LEGG MASON BW ABSOLUTE RETURN FUND					Buy	12/12/13	J		
181. - MSIF INC INTERNATIONAL FUND					Sold (part)	06/11/13	J	A	
182.					Sold (part)	08/27/13	J	A	
183.					Sold (part)	12/12/13	J	A	
184. - PRINCETON FUTURES STRATEGY FUND CLASS					Buy (add'l)	06/11/13	J		
185.					Sold (part)	08/27/13	J	A	
186.					Sold	12/12/13	K	A	
187. - NUVEEN LIMITED TERM MUNI BOND CLASS A					Buy (add'l)	12/12/13	J		

1. Income Gain Codes: (See Columns B1 and D4)	A - \$1,000 or less F - \$50,001 - \$100,000 J - \$15,000 or less N - \$250,001 - \$500,000 P3 - \$25,000,001 - \$50,000,000	B - \$1,001 - \$2,500 G - \$100,001 - \$1,000,000 K - \$15,001 - \$50,000 O - \$500,001 - \$1,000,000	C - \$2,501 - \$5,000 H1 - \$1,000,001 - \$5,000,000 L - \$50,001 - \$100,000 P1 - \$1,000,001 - \$5,000,000 P4 - More than \$50,000,000	D - \$5,001 - \$15,000 H2 - More than \$5,000,000 M - \$100,001 - \$250,000 P2 - \$5,000,001 - \$25,000,000	E - \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q - Appraisal U - Book Value	R - Cost (Real Estate Only) V - Other	S - Assessment W - Estimated	T - Cash Market	
3. Value Method Codes (See Column C2)					

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REINHARDT, STEPHEN R.

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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 (part)	08/27/13	J	A	
189. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND					Sold (part)	06/11/13	J	A	
190.					Sold (part)	08/27/13	J	A	
191. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND					Sold (part)	06/11/13	J	A	
192.					Sold (part)	08/27/13	J	A	
193. - TCW EMERGING MARKETS FUND					Sold (part)	08/27/13	J	A	
194. - THE TAX EXEMPT BOND FUND OF AMERICA					Sold (part)	06/11/13	J	A	
195.					Sold (part)	08/27/13	J	A	
196.					Sold (part)	12/12/13	J	A	
197. - VANGUARD SPECIALIZED PORT DIV APPREC FUND					Sold (part)	06/11/13	J	B	
198.					Sold (part)	08/27/13	J	B	
199.					Sold (part)	12/12/13	J	A	
200. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND					Sold (part)	06/11/13	J	A	
201.					Sold (part)	08/27/13	J	A	
202.					Sold (part)	12/12/13	J	A	
203. - WASATCH LONG/SHORT FUND					Sold (part)	06/11/13	J	A	
204.					Sold (part)	08/27/13	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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Name of Person Reporting

REINHARDT, STEPHEN R.

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07/24/2014

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.					Sold (part)	12/12/13	J	A	
206. - VIRTUS EMERGING MARKETS FUND [REDACTED]					Sold (part)	08/27/13	J	A	
207. - AMERICAN CENTURY MID CAP VALUE FUND [REDACTED]					Sold (part)	06/11/13	J	A	
208.					Sold (part)	08/27/13	J	A	
209. - RIVERNORTH DOUBLE LINE STRATEGIC INC FUND [REDACTED]					Buy	12/12/13	J		
210. - SCHWAB FUNDMNTL U.S. LARGE CO FUND [REDACTED]					Sold (part)	06/11/13	J	A	
211.					Sold (part)	08/27/13	J	A	
212.					Sold (part)	12/12/13	J	A	
213. - CITY NATIONAL BANK CHECKING [REDACTED]									

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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REINHARDT, STEPHEN R.

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

NOTE 1: Part VII, lines 98, 154 and 155 - We are still waiting for the year 2013 forms K-1 relating to the Acacia Partners, L.P. partnership and the Poetic License Partners, LP partnership on lines 154 and 155. As a result, both the income and gross value codes in columns B and C for the Trust #1 Exempt C on line 98 have been estimated. If necessary, an amended disclosure report will be filed upon our receipt of the K-1 forms.

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REINHARDT, STEPHEN R.

Date 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/ STEPHEN R. REINHARDT**

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