AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018

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)	2. Court or Organization	3. Date of Report
TROTT, Stephen S.	Ninth Circuit Court of Appeals	04/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Circuit Judge, Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2018 **to** 12/31/2018

7. Chambers or Office Address

U.S. Courthouse
550 W. Fort Street, Room 667
Boise, Idaho 83724

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.	Board Member	Boise Philharmonic Foundation
2.	Advisory Committee Member	Childrens Home Society of Idaho
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2018	Vested interest in a retirement plan maintained by Los Angeles Cnty, CA. I was employed as an attorney between 1965/1981. I draw a retirement income monthly.
2.		
3.		

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.	2018	Los Angeles County California Retirement	$14,000.00
2.	2018	"Highwaymen" LLC, Record Sales & Performance Fees	$3,800.00
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.		
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
TROTT, Stephen S.	04/23/2019

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Acct. 55 (H)									
2. Chevron Corp CVX	D	Dividend	M	T					
3. Exxon Mobil Corp XOM	B	Dividend	L	T					
4. Realty Income Corp Reit O	C	Dividend	L	T					
5. Acct. 57 (H)									
6. (American Funds) Growth Fund of America Class F GFFFX	A	Dividend	K	T					
7. (Clearbridge) Value Trust TR Inc NAV (LMNVX)	A	Dividend	K	T					
8. Vanguard Index Vanguard 500 Index 500 Index FD Admiral Shares (VFIAX)	B	Dividend	K	T					
9. Vanguard Sm Cap Index Admiral Shares (VSMAX)	A	Dividend	J	T					
10. Vanguard BD Index FDS Short Term BD Index FD Admiral SHS (VBIRX)	A	Dividend	K	T					
11. Vanguard Fixed Income Sec. FD Short (VFSUX)	A	Dividend	K	T					
12. Vanguard Index TR Mid-Cap Index Fund Admiral Shares (VIMAX)	A	Dividend	K	T					
13. Cash & Money Market - Evergreen US Govt Portfolio	A	Interest	K	T					
14. DFA US Targeted Value Port DFFVX	A	Dividend	K	T					
15. DFA US Targeted Value Port DFFVX (X)	A	Dividend	J	T	Buy (add'l)	03/28/18	J		
16. DFA World Ex US Core DFWIX	A	Dividend	L	T					
17. DFA World Ex US Core DFWIX	A	Dividend	J	T	Buy (add'l)	10/24/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
TROTT, Stephen S.	04/23/2019

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. DFA US Large Cap Value DFLVX	A	Dividend	K	T					
19. DFA US Large Cap Value DFLVX (X)	A	Dividend	J	T	Buy (add'l)	12/27/18	J		
20. SCH ST US TRSR SCHO	A	Dividend			Sold	01/29/18	J	A	
21. Vanguard Ltd Term Tax VMLUX	A	Dividend	K	T					
22. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy	03/08/18	J		
23. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy (add'l)	04/27/18	J		
24. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy (add'l)	07/26/18	J		
25. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy (add'l)	08/29/18	J		
26. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy (add'l)	09/26/18	J		
27. SCH Fundamental Intl Large Co Index SFNNX (X)	A	Dividend	J	T	Buy	12/26/18	J		
28. SCH US Large Cap Value Index Fund SWLVX (X)	A	Dividend			Buy	03/09/18	J		
29. SCH US Large Cap Value Index Fund SWLVX (X)	A	Dividend			Buy (add'l)	05/25/18	J		
30. SCH US Large Cap Value Index Fund SWLVX (X)	A	Dividend			Buy (add'l)	11/23/18	J		
31. SCH US Large Cap Value Index Fund SWLVX (X)	A	Dividend			Sold	12/26/18	J	A	
32. SCH Small Cap Index Fd Cash SWSSX (X)	A	Dividend	J	T	Buy	03/08/18	J		
33. SCH Fundamental US Small Cap Index Fund SWSSX (X)	A	Dividend	J	T	Buy	12/28/18	J		
34. SCH Fundamental US Small SFSNX (X)	A	Dividend	J	T	Buy	12/27/18	J		

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35. SCH US Mid Cap Index Fund Cash SWMCX (X)	A	Dividend	J	T	Buy	03/08/18	J		
36. SCH US Mid Cap Index Fund Cash SWMCX (X)	A	Dividend	J	T	Buy (add'l)	12/26/18	J		
37. SCH S&P 500 Index Fund Cash SWPPX (X)	A	Dividend	J	T	Buy	03/28/18	J		
38. SCH S&P 500 Index Fund Cash SWPPX (X)	A	Dividend	J	T	Buy (add'l)	12/26/18	J		
39. Acct. 97 (H)									
40. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T					
41. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T	Buy (add'l)	01/26/18	K		
42. DFA World Ex Core DFWIX	A	Dividend	K	T					
43. DFA US Targeted Values DFFVX	A	Dividend	K	T					
44. DFA US Targeted Values DFFVX	A	Dividend	J	T	Sold (part)	09/19/18	J	A	
45. DFA US Large Cap Value DFLVX	A	Dividend	K	T					
46. DFA US Large Cap Value DFLVX	A	Dividend	J	T	Sold (part)	09/20/18	J	A	
47. Vanguard Total Bond Mkt Index VBTLX	A	Dividend	J	T					
48. Vanguard Total Stk Mkt VTSAX	A	Dividend	J	T					
49. Vanguard Total Stk Mkt VTSAX	A	Dividend	J	T	Sold (part)	09/20/18	J	A	
50. Vanguard BD Index Fd VBIRX	A	Dividend	J	T					
51. Schwab US Aggregate Inflation SWAGX (X)	A	Dividend	J	T	Buy	03/05/18	J		

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52. Schwab US Aggregate Inflation SWAGX (X)	A	Dividend	J	T	Buy (add'l)	09/14/18	J		
53. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy	07/25/18	J		
54. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy (add'l)	08/24/18	J		
55. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy (add'l)	09/20/18	J		
56. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy (add'l)	09/25/18	J		
57. SCH Treasury Inflation Protected Secs SWRSX (X)	A	Dividend	J	T	Buy	03/06/18	J		
58. SCH Treasury Inflation Protected Secs SWRSX (X)	A	Dividend	J	T	Buy (add'l)	09/20/18	J		
59. SCH Fundamental Intl. Large Co Index SFNNX (X)	A	Dividend	J	T	Buy	09/20/18	J		
60. IRA - US Bank Cash Equivalent	B	Interest	J	T					

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TROTT, Stephen S.	04/23/2019

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

Section VII:

This, except for line #60 (IRA U.S. Bank), belongs to [redacted] and is [redacted] separate asset held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

Name of Person Reporting	Date of Report
TROTT, Stephen S.	04/23/2019

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 S. TROTT**

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