

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 06/10/2010
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 01/01/2009 to 12/31/2009
7. Chambers or Office Address 312 NORTH SPRING STREET ROOM 1747 LOS ANGELES, CA 90012	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
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.	

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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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REINHARDT, STEPHEN R.

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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.		
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2009	ACLU FOUNDATION OF SO CALIFORNIA - WAGES
2. 2009	AMERICAN CIVIL LIBERTIES UNION INC OF SO CALIFORNIA - WAGES
3. 1/16/2009	ESTATE OF [REDACTED] - EXECUTRIX FEES
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.	DEPARTMENT OF JUSTICE	3/15/09 - 3/18/09	WASHINGTON D.C.	SPEAKING ENGAGEMENT	AIRFARE, LODGING AND TRANSPORTATION
2.	AMERICAN CONSTITUTION SOCIETY	3/31/09 - 4/3/09	HARVARD UNIVERSITY - CAMBRIDGE, MASSACHUSETTS	SPEAKING ENGAGEMENT	AIRFARE, LODGING AND TRANSPORTATION
3.	AMERICAN CONSTITUTION SOCIETY	6/18/09 - 6/21/09	WASHINGTON D.C.	SPEAKING ENGAGEMENT	AIRFARE
4.	SAN FRANCISCO TRIAL LAWYERS ASSOCIATION	10/2/09 - 10/3/09	SAN FRANCISCO	SPEAKING ENGAGEMENT	AIRFARE, LODGING AND TRANSPORTATION
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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Name of Person Reporting

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)
1. BROKERAGE ACCOUNT #1 - CNB 100									
2. - CNI CHARTER FDS - CALIF TAX EXEMPT FD INSTL CL #242 1					Sold	2009	J	A	See Note 8, part VIII
3. - FEDERATED AMERICAN LEADERS F D CL C(FALCX) 1	A	Dividend			Merged (with line 4)	09/18/09	L		
4. - FEDERATED CLOVER VALUE FD CL C (VFCCX) 1	A	Dividend	L	T		09/18/09	L		See Note 1, part VIII
5. - GOLDMAN SACHS FINL SQR TSRY FD #506 1	A	Dividend	J	T	Buy	2009	J		See Note 8, part VIII
6. CITY NATIONAL CHECKING ACCOUNTS		None	M	T					
7. UNION BANK CHECKING		None	K	T					
8. BROKERAGE ACCOUNT #2 - CNB 500					Closed	4/30/09	K		
9. - CNI CHARTER FDS - CALIF TAX EXEMPT FD INSTL CL #242 2					Sold	2009	K	A	See Note 8, part VIII
10. - GOLDMAN SACHS FINL SQR TREAS FD #506,468 2	A	Dividend			Buy	2009	K		See next line for sale
11. - GOLDMAN SACHS FINL SQR TREAS FD #506, 468 2					Sold	04/21/09	K	A	
12. - COLUMBIA LIFE GOAL BALANCED GROWTH FD C 2	A	Dividend			Buy (add'l)	03/31/09	J		See Note 2, part VIII
13. - COLUMBIA LIFE GOAL BALANCED GROWTH FD 2					Merged (with line 109)	4/17/09			See Note 2, part VIII
14. BROKERAGE ACCOUNT #3 - CNB 400									
15. - GOLDMAN SACHS FINL SQR TREAS FD #506, 468 3	A	Dividend	O	T					
16. - CALIF ST GENL OBLIG 3/1/09	A	Interest			Matured	3/1/09	J	A	
17. BERKELY CALIF UNISCH DIST G O 3.000% 8/1/09	B	Interest			Matured	8/1/09	L	A	

1. Income Gain Codes:

(See Columns B) and (34)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

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

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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Name of Person Reporting

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)
18. - THREE VALLEYS MUN WTR DIST C ALIF 11/1/09	D	Interest			Matured	11/1/09	M	A	
19. - UNIVERSITY CALIF REV 5.000% 5/15/10	C	Interest	L	T					
20. - GLENDALE CALIF ELEC WKS REV 5.750% 2/1/12	D	Interest	M	T					
21. - SACRAMENTO CALIF MUN UTIL 11/15/12	B	Interest	L	T					
22. - GOLDEN ST TOB CALIF 5.500% 6/1/43	C	Interest	L	T					
23. - UNIVERSITY ARK UNIV REV 5.000% 12/1/09	C	Interest			Matured	12/1/09	L	A	
24. - ARIZ SCH FACS BRD CTFS PAR TN 5.00% 9/1/12	C	Interest	L	T					
25. - OPPENHEIMER INTL BOND FD CL A	E	Dividend	N	T	Buy (add'l)	12/31/09	J		
26. - LOS ANGELES CNTY CA SANTN DST 5.00% 10/1/11	B	Interest	L	T	Buy	4/1/09	L		
27. - PUERTO RICO COMWLTII G O 5.125% 7/1/30	A	Interest	K	T	Buy	4/1/09	K		
28. - CALIF ST ECONO 4.000% 7/1/09	A	Interest			Buy	2/4/09	K		See next line for sale
29. - CALIF ST ECONO 4.000% 7/1/09					Matured	7/1/09	K	A	
30. ACACIA PARTNERS, L.P.	III	Distribution	M	U	Distributed (part)	2009	P1	A	See Note 9, part VIII
31. POETIC LICENSE PARTNERS, LP		None	P1	U	Buy	7/17/09	P1		
32. BROKERAGE ACCOUNT #4 - CNB 200									
33. - GOLDMAN SACHS FINL SQR TREAS FD #506, 468 4	A	Dividend	J	T					
34. - TURLOCK CALIF IRR DIST REV 5.000% 1/1/09	B	Interest			Matured	1/1/09	K	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
P1 = \$25,000,001 - \$50,000,000

K = \$15,001 - \$50,000
Q = \$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.)

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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-II)	(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-II)	(5) Identity of buyer/seller (if private transaction)
35. - ORANGE CNTY CALIF TRNS SALE TAX 2/15/10	B	Interest	K	T					
36. - SAN DIEGO COMM COLLEGE 8/1/10	A	Interest	K	T					
37. - CALIF ST PUB WKS BRD 11/1/24	B	Interest			Sold	11/1/09	K	A	
38. BROKERAGE ACCOUNT #5 - CNB 300									
39. - CNI CHARTER FDS 5					Sold	2009	L	A	See Note 8, part VIII
40. - GOLDMAN SACHS FINL SQR TREAS FD #506, 468 5	A	Dividend	L	T	Buy	2009	L		See Note 8, part VIII
41. JOHN HANCOCK LIFE INS CO. - ANNUITY	D	Distribution	M	W					
42. SYMETRA LIFE INS CO - ANNUITY		None	K	T					
43. BROKERAGE ACCOUNT #6 - MERRILL LYNCH IRA - P48									
44. - M/LYNCH RETIREMENT RSRVS CL 6			J	T					
45. - BLACKROCK SMALL CAP 6					Sold	4/23/09	J	A	
46. - BLACKROCK LARGE CAP 6					Sold	4/23/09	J	A	
47. - BLACKROCK LARGE CAP 6			J	T	Buy	4/23/09	J		
48. - BLACKROCK FUNDAMENTAL 6					Sold	4/23/09	J	A	
49. - BLACKROCK INTERNATIONAL 6					Sold	4/23/09	J	A	
50. - BLACKROCK BASIC 6					Sold	4/23/09	J	A	
51. - BLACKROCK VALUE 6					Sold	4/23/09	J	A	

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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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)
52. - BLACKROCK SHORT TERM 6					Sold	4/23/09	J	A	
53. - BLACKROCK HIGH INCOME 6					Sold	4/23/09	J	A	
54. - BLACKROCK TOTAL RETURN 6					Sold	4/23/09	J	A	
55. - AMERICAN CENTURY FUND 6			J	T	Buy	4/23/09	J		
56. - AMERICAN GROWTH FUND 6			J	T	Buy	4/23/09	J		
57. - CALVERT SHORT DURATION FD 6			J	T	Buy	4/23/09	J		
58. - DELAWARE CORP BD 6			J	T	Buy	10/6/09	J		
59. - FPA NEW INCOME FD 6			J	T	Buy	4/23/09	J		
60. - HARTFORD CAPITAL FD 6			J	T	Buy	10/6/09	J		
61. - JENNISON VALUE FD 6			J	T	Buy	10/6/09	J		
62. - METROPOLITAN WERS TTL FD 6			J	T	Buy	4/23/09	J		
63. - T ROWE PRICE US TSY FD 6			J	T	Buy	4/23/09	J		
64. - TCW TOTAL RETURN FD 6			J	T	Buy	4/23/09	J		
65. - ALLIANZ NFJ DIV FD 6					Buy	4/23/09	J		See next line for sale
66. - ALLIANZ NFJ DIV FD 6					Sold	10/6/09	J	B	
67. - DWS CAPITAL GROWTH FD 6					Buy	4/23/09	J		See next line for sale
68. - DWS CAPITAL GROWTH FD 6					Sold	10/6/09	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

III = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

II2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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.)

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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 J (A-I)	(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)
69. - LOOMIS SAYLES BD FD 6					Buy	4/23/09	J		See next line for sale
70. - LOOMIS SAYLES BD FD 6					Sold	10/6/09	J	B	
71. BROKERAGE ACCOUNT #7 - MERRILL LYNCH IRA - A68					Merged (with line 43)	6/15/09	K		See Note 3, part VIII
72. - RETIREMENT SERVICES CL 7					Merged (with line 43)	6/15/09			See Note 3, part VIII
73. - ML TREND FOLLOWING 7					Sold	6/4/09	K	A	
74. BROKERAGE ACCOUNT #8 - MLYNCH ACLU DFD COMP IRREV TR -#C08									See Note 4, part VIII
75. - CMA MONEY FUND 8			K	T					
76. - BLACKROCK LARGE CAP 8			K	T	Buy (add'l)	4/24/09	J		
77. - BLACKROCK LARGE CAP 8					Sold (part)	10/28/09	K	A	
78. - BLACKROCK INFLATION 8			K	T	Buy (add'l)	10/28/09	K		
79. - BLACKROCK INFLATION 8					Sold (part)	4/24/09	J	A	
80. - BLACKROCK GLOBAL SMALL CAP 8					Buy (add'l)	4/24/09	J		
81. - BLACKROCK GLOBAL SMALL CAP 8					Sold	10/28/09	K	C	
82. - BLACKROCK BD PORTFOLIO, FORMERLY INT BD II INST 8			L	T	Sold (part)	4/24/09	J	A	Name change - see column A
83. - BLACKROCK FUNDAMENTAL 8			K	T	Buy	4/24/09	K		
84. - BLACKROCK FUNDAMENTAL 8					Sold (part)	10/28/09	K	C	
85. - BLACKROCK GLOBAL 8					Sold	4/24/09	K	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

E = \$15,001 - \$50,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

I12 = More than \$5,000,000
M = \$100,001 - \$250,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
V = Other

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

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86. - BLACKROCK EQUITY DIVIDEND 8			L	T	Buy (add'l)	4/24/09	K		
87. - BLACKROCK GLOBAL ALLOCATION 8			L	T	Sold (part)	10/28/09	K	C	
88. - BLACKROCK GNMA INST 8			K	T	Buy	10/28/09	K		
89. MERRILL LYNCH - NATIONWIDE ACHIEVER ANNUITY (Y)			M	T					See Note 5, part VIII
90. BROKERAGE ACCOUNT #9 - MERRILL LYNCH 390									
91. - AIG ANNUITY - SUN POLARIS PROTECTOR 9 (Y)									See Note 5, part VIII
92. - AMERICAN GROWTH FUND 9			K	T	Buy	4/28/09	J		
93. - AMERICAN GROWTH FUND 9					Sold (part)	10/6/09	J	A	
94. - BLACKROCK LARGE CAP 9			J	T	Buy	4/28/09	J		
95. - BLACKROCK CALIFORNIA 9			K	T	Buy	4/28/09	K		
96. - EATON VANCE NTL LTD 9			K	T	Buy	4/28/09	K		
97. - EATON VANCE AMT FREE 9			K	T	Buy	4/28/09	K		
98. - EATON VANCE AMT FREE 9					Sold (part)	10/6/09	J	A	
99. - FIDELITY ADV MUNI 9			K	T	Buy	4/28/09	K		
100. - FRANKLIN FED INTER TERM 9			K	T	Buy	4/24/09	K		
101. - FRANKLIN FED INTER TERM 9					Sold (part)	10/6/09	J	A	
102. - HARTFORD CAPITAL 9			J	T	Buy	10/6/09	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 P1 = \$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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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)
103. - JENNISON VALUE FD 9			J	T	Buy	10/6/09	J		
104. - J P MORGAN TAX AWARE 9			K	T	Buy	4/28/09	K		
105. - ALLIANZ NFJ DIVIDEND 9					Buy	4/28/09	J		See next line for sale
106. - ALLIANZ NFJ DIVIDEND 9					Sold	10/6/09	K	B	
107. - DWS CAPITAL GRWTH 9					Buy	4/28/09	J		See next line for sale
108. - DWS CAPITAL GRWTH 9					Sold	10/6/09	J	B	
109. - COLUMBIA LIFE GOAL BALANCED GROWTH FD 9					Sold	4/22/09	M	A	See Note 2, part VIII
110. MERRILL LYNCH CHECKING CMA MONEY FUND	A	Interest	J	T					See Note 10, part VIII
111. BANK OF THE WEST CHECKING	A	Interest	L	T					See Note 11, part VIII
112. TRUST #1 - TRUST - EXEMPT C	E	Distribution							See Note 6, part VIII
113. TRUST #2 - TRUST - NON-EXEMPT C	D	Distribution							See Note 7, part VIII

1. Income Gain Codes.
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

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
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

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
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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

NOTE 1: Part VII, line 4 - Federated American Leaders Fund became Federated Clover Value Fund as a result of a merger. Thus, no "buy" entry on line 4, column 1, section D..

NOTE 2: Part VII, lines 12, 13 and 109 - Columbia LifeGoal Fund was transferred to brokerage account #9 prior to its 2009 sale. See line 109 for sale.

NOTE 3: Part VII, lines 71 and 72 - Brokerage account #7 was closed and the IRA funds were rolled into brokerage account #6. Brokerage account #6 is reflected on lines 43 (header line only), through line 70.

NOTE 4: Part VII, line 74 - There is no year end value reflected on this line. This line is a header line only for brokerage account #8, with respect to the assets listed on lines 75 through 88. In the prior year 2008, the year end value of this brokerage account was inadvertently reflected on both the header line and within each asset detail that followed. Thus in 2008, the year end value of this brokerage account was in effect, doubled up. The line reference for where this occurred is part VII, line 69 of the 2008 report.

NOTE 5: Part VII, lines 89 and 91 - The Nationwide annuity on line 89 was acquired by way of an exchange that occurred in 2008. The AIG Sun Polaris annuity from line 91 was exchanged for the Nationwide annuity on 10/22/08, but the 2008 report still reflected it as AIG Sun Polaris at year end 2008 (see part VII, line 79 of the 2008 report). No cash income from the annuity was received in 2009.

NOTE 6: Part VII, line 112 - [Trust Exempt C contains brokerage account #3, CNB 400 reflected on lines 14 (header line only) through 29. The trust also holds the partnership interests in Acacia Partners, LP and Poetic License Partners, LP, on lines 30 and 31.

NOTE 7: Part VII, line 113 - [Trust Non-Exempt C contains brokerage account #5 CNB 300 reflected on lines 38 (header line only) through 40.

NOTE 8: Part VII, lines 2, 5, 9, 10, 39 and 40, under Section D, column 2 - For Goldman Sachs Financial Sqr funds 506 and 468, as well as CNI Charter Funds, the date 2009 was reflected because there was no specific date to disclose. These are money market sweep accounts where buys and sells occur throughout the year.

NOTE 9: Part VII, line 30, section D, column 2 - For Acacia Partners, because distributions occurred throughout the year, there was no specific date to disclose.

NOTE 10: Part VII, line 110 - This checking account was inadvertently omitted from the 2008 disclosure report.

NOTE 11: Part VII, line 111 - This checking account was inadvertently omitted from the 2008 disclosure 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 _____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544