

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Alarcon, Arthur L.	2. Court or Organization U.S. Court of Appeals	3. Date of Report 05/07/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address U.S. Courthouse 312 No. Spring Street 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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Director	Las Familias del Pueblo (a not-for-profit corporation)
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)☐ NONE (No reportable agreements.)DATEPARTIES AND TERMS

1. 6/76	Employee's Retirement Benefit (Los Angeles County)
2. 6/76	Employee's Retirement Benefit (State of California)
3. 6/92	State Judge's Pension

Alarcon, Arthur L.

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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. 2010	Retirement Benefits, State of California	\$2,479.00
2. 2010	Retirement Benefits, Los Angeles County	\$11,908.00
3. 2010	Retirement Benefits, State of California Judges	\$41,920.00
4. 2010	West Services Inc.	\$4,702.00

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. 2010	Retirement Plan of Citibank
2. 2010	Retirement Plan of Honeywell
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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.	Cal Western Life Ins Co	A	Interest	K	W					
2.	U.S. Treasury Bills	A	Interest	K	T	Redeemed (part)	06/03/10	K		
3.						Buy (add'l)	06/30/10	K		
4.						Buy (add'l)	07/31/10	K		
5.						Redeemed (part)	08/31/10	K		
6.	United Airline Stock		None	J	T					
7.	Citibank Accounts	A	Interest	L	T					
8.	Brokerage Account #1:									
9.	- TD Ameritrade MMDA Sweep Account	A	Interest	L	T					
10.	- Citigroup Stock		None	J	T					
11.	- Coca Cola Stock	A	Dividend	J	T					
12.	- Hewlett Packard Stock	A	Dividend	K	T					
13.	- Microsoft Stock	A	Dividend	J	T					
14.	- Proctor & Gamble Stock	A	Dividend	J	T					
15.	- Nokia Stock	A	Dividend	J	T					
16.	- IBM Stock	A	Dividend	J	T					
17.	- Sara Lee Stock	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. - Mastercard Inc Stock	A	Dividend	J	T					
19. - Paterson-UTI Energy Inc Stock	A	Dividend	J	T					
20. Brokerage Account #2:									
21. - TD Ameritrade MMDA Sweep Account	A	Interest	L	T					
22. - Honeywell Stock	A	Dividend	K	T					
23. - Cisco Stock		None	J	T					
24. - Pfizer Stock	A	Dividend	J	T	Buy (add'l)	08/31/10	J		
25. - Merck Stock	A	Dividend	J	T	Buy (add'l)	03/23/10	J		
26. - EXXON Mobile Corp Stock	A	Dividend	J	T	Buy (add'l)	03/23/10	J		
27. - 3M Company Stock		None			Sold	08/31/10	J	A	
28. - Intel Stock	A	Dividend	J	T					
29. - Clorox Company Stock	A	Dividend	J	T					
30. - Newell Rubbermaid Inc Stock		None			Sold	08/31/10	J		
31. - Citigroup Inc Stock		None	J	T					
32. - GE Stock	A	Dividend	J	T					
33. - Vanguard International Growth Mutual Fund	A	Dividend	K	T	Buy	09/02/10	K		
34. - Neuberger Berman Guardian Mutual Fund	A	Dividend	K	T	Buy	09/02/10	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

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W = Estimated

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Brokerage Account #3:									
36. - Wells Fargo Bank Deposit Sweep Option	A	Interest	J	T					
37. - Calif State Bond (acquired 12/15/08)	C	Interest			Redeemed	05/01/10	M		
38. - Southwest Bank CD	C	Interest			Redeemed	08/16/10	L		
39. - Midfirst Bank CD	A	Interest			Redeemed	05/27/10	L		
40. - Carolina First Bank CD	A	Interest			Redeemed	05/28/10	L		
41. - GE Money Bank CD	A	Interest			Redeemed	01/11/10	M		
42. - Ca St Rev Bond (acquired 12/01/09)	B	Interest			Redeemed	06/23/10	L		
43. - GE Money Bank CD	A	Interest			Buy	01/22/10	M		
44.					Redeemed	07/22/10	M		
45. - Ford Motor Credit Co SR Notes (VA8 acq 08/13/10)		None	L	T	Buy	08/13/10	L		
46. - Ca St Dpt Wtr Res Wtr Rev Bond (NX7 acq 06/03/10)	A	Interest	K	T	Buy	06/03/10	K		
47. - Ca St G/O Bond (NL2 acq 05/06/10)	A	Interest	K	T	Buy	05/06/10	K		
48. - Ca St Var Purp G/O Unltd Bond (3C0 acq 06/03/10)	A	Interest	K	T	Buy	06/03/10	K		
49. - Ca St Var Purp G/O Unltd Bond (H92 acq 05/04/10)	A	Interest	K	T	Buy	05/04/10	K		
50. - Ca St Var Purp G/O Unltd Bond (KT4 acq 05/03/10)	B	Interest	K	T	Buy	05/03/10	K		
51. - Ca St Econ Recov Ser A Bond (AX9 acq 06/04/10)	A	Interest	K	T	Buy	06/04/10	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

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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52. - Ca St Ref G/O Unltd Bond (F41 acq 06/07/10)	A	Interest	J	T	Buy	06/07/10	J		
53. - Ca St Var Purp Fsa Cr G/O Cus Bond (A32 acq 06/22/10)	A	Interest	K	T	Buy	06/22/10	K		
54. - Ca Stwide Cmnty Dev Prop 1A Bond (R58 acq 08/16/10)	H2	Interest	K	T	Buy	08/16/10	K		
55. - Ca St Var Purp G/O Txbl Bond (5F7 acq 06/03/10)	B	Interest	K	T	Buy	06/03/10	K		
56. - State Bank India CD (WT7 acq 09/24/10)		None	M	T	Buy	09/24/10	M		
57. - Plainscapital Bank CD (VE6 acq 06/24/10)	A	Interest	L	T	Buy	06/24/10	L		
58. Brokerage Account #4:									
59. - Wells Fargo Bank Deposit Sweep Option	A	Interest	J	T					
60. - Bank Baroda CD	A	Interest			Redeemed	01/19/10	M		
61. - Greystone Bank CD	C	Interest			Redeemed	11/22/10	L		
62. - Ca St Econ Recov Ser B Bond (JV4 acq 5/21/09)	C	Interest	L	T					
63. - Ca St Pub Wks Brd Bond (SB0 acq 3/24/09)	C	Interest	L	T					
64. - Ca St Univ Rev Ref Bond (FV1 acq 03/24/09)	B	Interest	K	T					
65. - Ca St Econ Recov Ser A Bond (LU3,LQ2 acq 4/23/09)	B	Interest	K	T					
66. - GE Money Bank CD	A	Interest			Buy	01/19/10	M		
67.					Redeemed	07/22/10	M		
68. - Ca Infra & Econ Dev Bk Rev Ser E Bond (34Z acq 08/13/10)	B	Interest	L	T	Buy	08/13/10	L		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. - Ca St Cmnty Dev Auth Rev Prop 1A Bond (R58 acq 08/16/10)	A	Interest	K	T	Buy	08/16/10	K		
70. - Ca St G/O Unltd Bond (Z49 acq 11/09/10)		None	L	T	Buy	11/09/10	L		
71. - Ca St Econ Recov Ser A Bond (BC4 acq 12/10/10)		None	K	T	Buy	12/10/10	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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

- 1) Part VII, line 8, Column C(Gross Value): deposits bumped the value up to the next value code.
- 2) Part VII: remaining differences between 2009 and 2010 for entries in Column B (Income) and C (Gross Value) are due to market fluctuation in stock prices and interest/dividends.
- 3) Part VII, the "Audit" flagged lines 8, 20, 35, and 58 with "...if the entry in column A is not a header then...." The entries in lines 8, 20, 35, and 58 are headers.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/07/2011

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/ **Arthur L. Alarcon**

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)

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