

**United States Court of Appeals
for the Ninth Circuit**

U.S. FEDERAL COURTHOUSE
550 WEST FORT STREET, ROOM 667
BOISE, IDAHO 83724-0040

Chambers of
STEPHEN S. TROTT
United States Circuit Judge

July 20, 2004

RECEIVED
JUL 33 10 25 AM '04
FINANCIAL
DISCLOSURE OFFICE
TEL: (208) 334-1612
FAX: (208) 334-9715

Hon. Mary M. Lisi, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Response to Request For Additional Information Regarding
Calendar Year 2003 Financial Disclosure Report

Dear Judge Lisi:

1. In Part IV, line 1, the 7th District Bar Association Expense reimbursement was for transportation and food.
2. In Part VI, page 2, line 22, we listed "SPDR Trust Unit Ser I SPY," but we did not include any information under "D. Transactions during reporting period." This was an oversight that created the impression that this asset was owned during the previous reporting period, which it was not.
 - Under D.(1), we should have stated "Bought."
 - Under D.(2), "3/03"
 - Under D.(3), "J."
3. In Part VII, page 1, lines 1, 5, and 8, page 2, lines 21, 24, 28, and 31, and page 3, line 37, we listed information for these assets in Column C., creating the mistaken impression that these assets had not been fully disposed of during the reporting period. Each of these entries under Column C. should have been blank because these assets were entirely disposed of, as indicated in Column D. respectively.
4. In Part VII, page 2, line 30, Column D.(3) was inadvertently left blank. It should have indicated "K" to show value.

Hon. Mary M. Lisi, Chair
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Page 2

5. In Part VII, page 3, line 42 of our 2002 report, we listed "Vanguard Mun Bond Fd Intmed Term VWITX." Contrary to your assertion that this asset is not listed in our 2003 report, we believe you will find it in Part VII, page 1, line 14.

Should you need any additional information, we will be pleased to provide it to you.



Stephen S. Hottel
Circuit Judge

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FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle Initial) TROTT, Stephen S	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 5/3/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge, Active	5. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address U.S. Courthouse 550 W. Fort Street, Room 667 Boise, Idaho 83724	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. Board Member

Children's Home Society of Idaho

2. Board Member

Boise Philharmonic Association & Foundation

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

☐ NONE - (No reportable agreements.)
DATEPARTIES AND TERMS

1.

Vested interest in a retirement plan maintained by L.A. County, CA, where I was employed as an attorney between 1965/1981. I draw a retirement income monthly.

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Name of Person Reporting

TROTT, Stephen S

Date of Report

5/3/2004

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>GROSS INCOME</u> (yours, not spouse's)
1.	Los Angeles County, California Retirement	10,000.00
2.	"Highwaymen" Record Sales	10,000.00

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please 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.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☐ **NONE** - (No such reportable reimbursements.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. 05/06/03 - 05/08/03 7th District Bar Association / Idaho Falls, Idaho	SPEAKER / Expenses

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ NONE -- (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ NONE - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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Name of Person Reporting

TROTT, Stephen S

Date of Report

5/3/2004

VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets) Place "XX" 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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Artisan FDS Inc Intl Fund ARTIX	A	Dividend	J	T	Sold	11/20	J	A	
2. Janus Inv Fund Mid Cap* JMIIX (formerly Berger)	A	Dividend	J	T					
3. Dreyfus Appreciation Fund DGAGX	A	Dividend	J	T					
4. FMI FDS Focus Fund FMIOX	A	Dividend	J	T					
5. Goldman Sachs - TR Finl Square Market Fund FSMXX	A	Dividend	J	T	Sold	7/14	J	A	
6. Julius Baer Inv Funds JIEIX	A	Dividend	J	T	Bought	11/21			
7. ING Fund Int Value NIIVX	A	Dividend	J	T					
8. Morgan Stanley Funds MPVIX	A	Dividend	J	T	Sold	5/13	J	A	
9. Royce Premier Fund RYPRX	A	Dividend	J	T					
10. TCW Galileo Funds Select TGCEX	A	Dividend	J	T	Sold Partial	7/14	J	A	
11. TCW Galileo Funds Select TGCEX	A	Dividend	J	T	Sold Partial	10/13	J	A	
12. T Rowe Price Mid Ca RPMGX	A	Dividend	J	T					
13. Torrey Fund TORRX	A	Dividend	J	T	Bought	5/14			
14. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend	J	T					
15. Vanguard Muni Bnd Fnd Lmted Trm Tax Exempt VMLTX (sep pur)**	A	Dividend	J	T					
16. Vanguard Municipal Bond Fund Limited Term Tax Exempt VMLTX	A	Dividend	J	T	Bought	5/14			
17. Vanguard/Windsor Fund VWNFX	A	Dividend	J	T					
18. Bonds - Boise Idaho Waste Water	A	Interest	J	T	Bought	3/04			

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

TROTT, Stephen S

Date of Report

5/3/2004

VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 54-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. Bonds - Canyon County Idaho School	A	Interest	K	T					
20. Bonds - Idaho Housing & Finance Association	A	Interest	J	T					
21. Bonds - Idaho State Building Auth	A	Interest	J	T	Redemption	3/03	J	A	
22. SPDR Trust Unit Ser 1 SPY	A	Dividend	J	T					
23. Cash & Money Market - Evergreen US Govt Portfolio	A	Interest	J	T					
24. Artisan FDS Fund ARTIX	A	Dividend	J	T	Sold	11/20	K	B	
25. Janus Invst Fund Mid Cap* JMVX (formerly Berger)	A	Dividend	J	T					
26. Dreyfus Appreciation Fund DGAGX	A	Dividend	J	T					
27. Fidelity FDS Focus Fund FMIOX	A	Dividend	J	T					
28. Goldman Sachs TR Finl Square Market Fund FSMXX	A	Dividend	J	T	Sold	10/14	J	A	
29. ING Fund Intl Value Fund INVLX	A	Dividend	J	T					
30. Julius Baer Invst Funds Intl Equity JIEIX	A	Dividend	K	T	Bought	11/21			
31. Morgan Stanley Funds MPVLX	A	Dividend	J	T	Sold	5/13	J	A	
32. PIMCO Funds Pac Int PTTRX	A	Dividend	K	T					
33. Royce Premier Fund RYPRX	A	Dividend	J	T					
34. TCW Galileo Funds Inc TGCEX	A	Dividend	J	T	Partial Sale	10/13	J	A	
35. Torrey Fund TORRX	A	Dividend	J	T	Bought	5/14	J	A	
36. T Rowe Price Mid Cap RPMGX	A	Dividend	J	T					

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
TROTT, Stephen S

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VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Asset (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)	If not exempt from disclosure			
	Amount Code 1 (A-H)	Type (e.g. div. rent or int.)	Value Code 2 (J-T)	Value Method Code 3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-T)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
37. Vanguard Bond Index VBMPX	A	Dividend	J	T	Sold	9/15	K	A	
38. Vanguard Windsor VWNFX	A	Dividend	J	T					
39. Western Asset Core WATFX	A	Dividend	K	T	Bought	9/16			
40. Janus Fund JANEX	B	Dividend	K	T					
41. Janus Growth & Income JAGIX	B	Dividend	K	T					
42. IRA - US Bank Cash Equivalent	D	Interest	K	T					
43. *Name Change from Berger to Janus Invst Fund Mid Cap									
44. **Separate Purchases (lines 14 & 15 are separate purchases)									

separate assets are held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

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	H = \$1,000,001-\$5,000,000	I = \$5,000,001-\$25,000,000	J = More than \$25,000,000
2. Value Codes	U = \$15,000 or less	V = \$15,001-\$50,000	W = \$50,001-\$100,000	X = \$100,001-\$250,000	Y = \$250,001-\$500,000
(See Columns C1 and D3)	Z = \$500,001-\$1,000,000	AA = \$1,000,001-\$5,000,000	AB = \$5,000,001-\$25,000,000	AC = \$25,000,001-\$50,000,000	AD = \$50,000,001-\$250,000,000
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		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

TROTT, Stephen S

Date of Report

5/3/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Section VI -- This 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.



FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

TROTT, Stephen S

Date of Report

5/3/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/3/04

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