



UNITED STATES COURT OF APPEALS

FOR THE NINTH CIRCUIT
125 SOUTH GRAND AVENUE
PASADENA, CALIFORNIA 91109-1510

**SELF INITIATED
AMENDMENT**

CHAMBERS OF
RICHARD A. PAEZ
UNITED STATES CIRCUIT JUDGE

TELEPHONE
(626) 229-7180

June 20, 2008

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

Dear Committee:

In preparing my 2007 Financial Disclosure Report, I noticed several errors and one omission in my 2006 report. I have corrected those mistakes in the attached amended 2006 report. The corrections can be found in Section VII, Investments and Trusts, Items 2C(1), 9C, 10C, 12C, 17C and 18 (new). I apologize for the mistakes.

Richard A. Paez

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AO 10
Rev. 1/2008FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2007

1. Person Reporting (last name, first, middle initial) PAEZ, Richard A	2. Court or Organization U.S. Court of Appeals, 9th Cir	3. Date of Report 06/19/2008
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2007 to 12/31/2007
7. Chambers or Office Address 125 South Grand Avenue Suite 300 Pasadena, CA 91105	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. _____

2. _____

3. _____

4. _____

5. _____

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



NONE (No reportable agreements.)

DATEPARTIES AND TERMS

1. 9/98 California judges Retirement System - Deferred Retirement at age 63

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.)*

<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. 2006	Kaiser Foundation Hospitals
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Constitutional Law Society				June 16, 2006 - Washington, D.C. Transportation & Room (Panel Moderator)
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.)*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. Sallie Mae

Student Loans

K

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Fidelity Magellan	A	Dividend	J	T					
2. Fidelity Asset Manager	A	Dividend	J	T	Part Redempt	7/17	J	A	
3. Fidelity Balanced	B	Dividend	J	T	Part Redempt	11/6	J	A	
4. Fidelity Cash Reserves (IRA)	B	Dividend	K	T					
5. Fedelity Short Term Bond (IRA)	C	Dividend	L	T					
6. Fidelity Ginnie Mae (IRA)	C	Dividend	L	T					
7. Fidelity Government Income (IRA)	B	Dividend	L	T					
8. Fidelity Government Income (IRA)	A	Dividend	K	T	Buy/Rollover	5/30	K		
9. See Beyond Corp (401K) Fidelity Investments	A	Dividend			Redem/Rollov	5/29	K	B	
10. Pacific Oaks College (403(b)) TIA-A-CREF	A	Dividend			Redem/Rollov	6/2	J	A	
11. IBM (401K)	D	Dividend	N	T					
12. Sun Microsystems (401K) J.P. Morgan Investments	A	Dividend			Redem/Rollov	6/2	J	A	
13. Fidelity New Markets Inc. IRA	A	Dividend	J	T	Buy/Rollover	6/2	J	A	
14. Fidelity U.S. Bond Index IRA	A	Dividend	J	T	Buy/Rollover	6/2	J	A	
15. Fidelity Cash Reserve IRA	A	Dividend	J	T	Buy/Rollover	6/12	J	A	
16. Fidelity Equity Income IRA	A	Dividend	J	T	Buy/Rollover	6/2	J	A	
17. Stock (Option) Sun Microsystem*	C	Dividend			Sell	2/1	J	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 \$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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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Kaiser 403(b) Vanguard Investments	A	Dividend	J	T	Buy(Monthly)	2/1	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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Part VII, page 4, line 17*. Note: Sun Microsystem merged with See Beyond Corporation in 2005 and [REDACTED] exercised the option when she left Sun Microsystems in 2006.

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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