

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009

COPY

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

1. Person Reporting (last name, first, middle initial) TROTT, Stephen S.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 05/01/2010
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member	Boise Philharmonic Association & Foundation
2. Board Member	Esther Simplot Performing Arts Center
3. Advisory Committee Member	Childrens Home Society of Idaho
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2009	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.	

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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. 2009	Los Angeles County California Retirement	\$12,000.00
2. 2009	"Highwaymen" LLC, Record Sales & Performance Fees	\$2,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
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.		
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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Artio Globe Intl Fund EQII JETIX	D	Dividend	J	T	Buy	01/15/09	J		
2. Calamos Growth Fund Class A CVGRX	D	Dividend	J	T					
3. Calamos Growth Fund Class A CVGRX	D	Dividend	J	T	Sold (part)	09/01/09	J	A	
4. Dodge Cox Intl Stk Fd DODFX	D	Dividend	J	T					
5. Dodge Cox Intl Stk Fd DODFX	D	Dividend	J	T	Sold (part)	09/01/09	J	A	
6. Growth Fund of America Class F GFAFE	D	Dividend	J	T					
7. Growth Fund of America Class F GFAFE	D	Dividend	J	T	Sold (part)	09/01/09	J	A	
8. Ishares MSCI EAFE Index Fund EFA	D	Dividend			Sold	02/18/09	J	A	
9. Ishares Russell Mid Cap Value	D	Dividend			Sold	02/18/09	J	A	
10. Janus Adv Mid Cap Value CII JMVAX	A	Dividend	J	T	Buy	01/15/09	J		
11. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T					
12. Legg Mason Value Trust TR Inc NAV LMNVX	D	Dividend	J	T	Sold (part)	09/01/09	J	A	
13. Mutual Series FD Inc Discovery Fd CL A TEDIX	D	Dividend	J	T					
14. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T	Buy	03/24/09	J		
15. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T	Buy	07/30/09	J		
16. Schroeder Muni Bond Inv SMBIX	A	Dividend	K	T	Sold (part)	02/20/09	J	A	
17. Schroeder Muni Bond Inv	A	Dividend			Sold	02/27/09	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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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. TCW FDS Inc TGLMX Total Bond Fund	A	Dividend	J	T	Buy	04/02/09	J		
19. TCW FDS Inc TGLMX Total Bond Fund	A	Dividend	J	T	Buy	06/09/09	J		
20. TCW FDS Inc TGLMX Total Bond Fund	A	Dividend	J	T	Buy	09/01/09	J		
21. TCW FDS Inc TGLMX Total Bond Fund	A	Dividend	J	T	Sold (part)	12/07/09	J	A	
22. Vanguard Index Trust 500 Portfolio Inv Fd VFINX	D	Dividend	J	T					
23. Vanguard Index Trust 500 Portfolio Inv Fd VFINX	A	Dividend	J	T	Sold (part)	07/29/09	J	A	
24. Vanguard Index Tr Small Cap STK Portfolio Inv NAESX	A	Dividend	J	T					
25. Vanguard Index Tr Small Cap STK Portfolio Inv NAESX	A	Dividend	J	T	Sold (part)	07/29/09	J	A	
26. Vanguard Index Tr Small Cap STK Portfolio Inv NAESX	D	Dividend	J	T	Sold (part)	09/01/09	J	A	
27. Vanguard Mid Cap Index Fd CL I VIMSX	D	Dividend	J	T					
28. Vanguard Mid Cap Index Fd CL I VIMSX	A	Dividend	J	T	Sold (part)	09/01/09	J	A	
29. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend	J	T					
30. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend	J	T	Buy	02/05/09	J		
31. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend			Sold (part)	03/24/09	J	A	
32. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend			Sold (part)	04/02/09	J	A	
33. Vanguard Municipal Bond Fund Inter Term VWITX	A	Dividend			Sold	06/11/09	J	A	
34. Vanguard Municipal Bond Fund VMLTX	A	Dividend	J	T					

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 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
2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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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)
35. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Buy	02/05/09	J		
36. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Sold (part)	03/24/09	J	A	
37. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Sold (part)	04/02/09	J	A	
38. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Buy	06/09/09	J		
39. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Buy	07/07/09	J		
40. Vanguard Municipal Bond Fund Lmt'd Term Tax Exempt VMLTX	A	Dividend	J	T	Buy	09/02/09	J		
41. Vanguard Municipal Bond Fund Short Term VWSTY	D	Dividend	J	T	Buy	06/12/09	J		
42. Vanguard Municipal Bond Fund Short Term VWSTY	B	Dividend	J	T	Buy	09/02/09	J		
43. Bonds - Boise Idaho Waste Water	A	Interest	J	T					
44. Janus Fund JANSX	B	Dividend	K	T					
45. Janus Growth & Income JAGIX	B	Dividend	K	T					
46. Artio Intl Equity Fund II JETIX	A	Dividend	J	T					
47. Calamas Growth Fund Class A CVGRX	A	Dividend	J	T					
48. Calamas Growth Fund Class A CVGRX	A	Dividend	J	T	Sold (part)	09/01/09	J	A	
49. Cash & Money Market - Evergreen US Gov't Portfolio	A	Interest	K	T					
50. Dodge Cox Intl STK Fund DODFX	A	Dividend	J	T					
51. Dodge Cox Intl STK Fund DODFX	A	Dividend	J	T	Sold (part)	09/01/09	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 \$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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☐ 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-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)
52. Growth Fund American Fund - Class F	A	Dividend	J	T					
53. Janus Advisers Ser Adv Mid Cap Cl I JMVAX	A	Dividend	J	T					
54. Legg Mason Value Trust TR Inc NAV LMNVX	D	Dividend	J	T					
55. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	09/01/09	J	A	
56. Mutual Series FD Inc Discovery Fd CL A TEDIX	A	Dividend	J	T					
57. PIMCO Commodity Real Return PCRIX	A	Dividend	J	T	Buy	03/24/09	J		
58. PIMCO Commodity Real Return PCRIX	A	Dividend	J	T	Buy	07/30/09	J		
59. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T					
60. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T	Sold (part)	03/24/09	J	A	
61. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T	Buy	09/02/09	J		
62. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T	Sold (part)	12/18/09	J	A	
63. TCW Funds Inc TGMLX Total Return	A	Dividend	J	T	Buy	04/02/09	J		
64. TCW Funds Inc TGMLX Total Return	A	Dividend	J	T	Buy	09/02/09	J		
65. TCW Funds Inc TGMLX Total Return	A	Dividend	J	T	Sold (part)	12/07/09	J	A	
66. Vanguard Index Trust 500 Portfolio Inv Fund VFINX	A	Dividend	J	T					
67. Vanguard Index Trust 500 Portfolio Inv Fund VFINX	A	Dividend	J	T	Sold (part)	07/29/09	J	A	
68. Vanguard Index TR Small Cap Stock Portfolio NAESX	A	Dividend	J	T					

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

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

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

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

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

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

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

P3 = \$25,000,001 - \$50,000,000

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)
69. Vanguard Index TR Small Cap Stock Portfolio NAESX	A	Dividend	J	T	Sold (part)	07/29/09	J	A	
70. Vanguard Mid Cap Index Fd CI I VIMSX	A	Dividend	J	T					
71. Vanguard Bond Index VBMFX	D	Dividend	J	T	Buy	06/10/09	J		
72. Vanguard Bond Index VBMFX	A	Dividend	J	T	Buy	09/02/09	J		
73. Western Asset Core WATFX	A	Dividend	K	T					
74. Western Asset Core WATFX	A	Dividend	K	T	Sold (part)	03/24/09	J	A	
75. Western Asset Core WATFX	A	Dividend	J	T	Sold (part)	04/02/09	J	A	
76. Western Asset Core WATFX	A	Dividend			Sold	06/10/09	J	A	
77. IRA - US Bank Cash Equivalent	C	Interest	K	T					

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.)*

Section VII: This, except for line #77 (IRA U.S. Bank), belongs to [REDACTED] and is her separate asset held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

Note: This report consists of three separate accounts.

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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



**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

TEL: (208) 334-1612

June 22, 2010

Judge Bobby R. Baldock, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: Judge Stephen S. Trott
Calendar Year 2009 Filing

RECEIVED
2010 JUN 24 A 9:08
FINANCIAL
DISCLOSURE OFFICE

Dear Judge Baldock,

In response to your letter of June 15, 2010, I submit the following. The asset listed on my 2008 Financial Disclosure Report on Line 44, Part VII, "Investments and Trusts," identified as "Bonds-Canyon County Idaho School," belonging to my spouse, was sold (redeemed) on July 30, 2009, with a "value" under D. "Transactions during reporting period" of "K," and a "gain" of "A." Please confirm your receipt of this information.

Stephen S. Trott
Senior Circuit Judge