

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2006

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) Alarcon, Arthur L	2. Court or Organization U.S. Court of Appeals	3. Date of Report 04/20/2007
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 01/01/2006 to 12/31/2006
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 instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

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

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

☐ NONE (No reportable agreements.)

DATE

PARTIES 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

FINANCIAL DISCLOSURE REPORT
Page 2 of 9

Name of Person Reporting
Alarcon, Arthur L

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04/20/2007

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of 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. 2006	Retirement Benefits, State of California	\$ 2,276
2. 2006	Retirement Benefits, Los Angeles County	\$ 10,944
3. 2006	Retirement Benefits, State of California Judges	\$ 36,183
4. 2006	West Services Inc.	\$ 4,539
5.		

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	Retirement Plan of Citibank
2. 2006	Retirement Plan of Honeywell
3.	
4.	
5.	

IV. REIMBURSEMENTS – *transportation, lodging, food, entertainment.*

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

☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>
1. Montanta Assoc. of Criminal Defense Lawyers	Mar. 15-17 - Chico Hot Springs, MT - Speaker at Seminar (Transportation, Food, and Hotel)
2.	
3.	
4.	
5.	

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Alarcon, Arthur L

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04/20/2007

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of 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 instructions.)*☒ NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Alarcon, Arthur L

Date of Report

04/20/2007

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of the 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. Cal Western Life Ins Co	A	Interest	K	W					
2. L.A. Financial Credit Union	C	Interest	L	T	Withdrawal	12/22	K		
3. Washington Mutual Bank Accounts	C	Interest	L	T	Part.Redemp.	11/11	K		
4. U.S. Treasury Bills	C	Interest	L	T	Reinvest	02/08	K		
5.					Purchase	05/04	L		
6.					Reinvest	08/09	K		
7.					Reinvest	11/02	L		
8. United Airline Stock		None	J	T					
9. World Savings Bank Accounts	A	Interest	K	T	Opened	12/26	K		
10. Brokerage Account #1									
11. --Sweep Account	A	Interest	L	T					
12. --Agilent Technology Stock		None	J	T					
13. --Citigroup Stock	D	Dividend	M	T					
14. --Coca Cola Stock	A	Dividend	J	T					
15. --Hewlett Packard Stock	A	Dividend	K	T					
16. --Microsoft Stock	A	Dividend	J	T					
17. --Proctor & Gamble Stock	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

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18. --Nokia Stock	A	Dividend	J	T					
19. --Ford Motor Stock	A	Dividend			Sell	05/30	J		
20. --IBM Stock	A	Dividend	J	T	Buy	08/02	J		
21. --Sara Lee Stock	A	Dividend	J	T	Buy	02/03	J		
22.					Buy	05/18	J		
23.					Buy	05/30	J		
24. --Hanesbrands Inc Stock		None	J	T	Stk Spinoff	09/11	J		
25.					Buy	11/14	J		
26. --Mastercard Inc Stock		None	J	T	Buy	11/27	J		
27. --Paterson-UTI Energy Inc Stock	A	Dividend	J	T	Buy	11/14	J		
28. Brokerage Account #2									
29. --Sweep Account	A	Interest	J	T					
30. --Honeywell Stock	A	Dividend	K	T					
31. --Cisco Stock		None	K	T					
32. --Corning Stock		None			Sell	07/24	J		
33. --EMC Stock		None			Buy	07/24	J		
34.					Sell	12/28	J		

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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

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35. --Pfizer Stock	A	Dividend	J	T					
36. --Merck Stock	A	Dividend	J	T	Buy	06/06	J		
37. --International Paper Stock	A	Dividend	J	T					
38. --TYCO International LTD Stock	A	Dividend	J	T					
39. --EXXON Mobile Corp Stock	A	Dividend	J	T					
40. --3M Company Stock	A	Dividend	J	T	Buy	08/02	J		
41. --Intel Stock	A	Dividend	J	T					
42. Brokerage Account #3									
43. --Sweep Account	A	Interest	J	T					
44. --Bank of Oklahoma CD	C	Interest			Redemption	08/03	L		
45. --Advanta Bank CD	C	Interest			Redemption	09/14	L		
46. --Sovereign Bank CD		None	L	T	Buy	01/04	L		
47. --Western Bank CD		None	L	T	Buy	08/03	L		
48. --Mercantile Bank CD		None	M	T	Buy	09/20	M		
49. Brokerage Account #4					Opened Feb.				
50. --Sweep Account	A	Interest	J	T					
51. --First Bank Puerto Rico CD		None	L	T	Buy	02/08	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

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52. --CALIF INFRASTRUCTURE & ECONOMIC DEV BK REV BOND	A	Interest	J	T	Purchase	05/19	J		
53. --PITTSBURGH CALIF REDEV AGY TAX ALLOC SUB BOND	B	Interest	L	T	Purchase	05/23	L		
54. --SAN JOSE CALIF REDEV TAX ALLOC MRGD AREA RDV PRJ BOND	A	Interest	K	T	Purchase	05/18	J		
55.					Purchase	05/19	K		
56. --CALIF ST VAR PURP GEN OBLIGATION BOND	A	Interest	J	T	Purchase	05/19	J		
57. --LOS ANGELES CNTY CALIF PUB WKS FING AUTH REV SER A BOND	A	Interest	J	T	Purchase	05/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Alarcon, Arthur L

Date of Report

04/20/2007

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

VII. INVESTMENTS AND TRUSTS

1. Last year's item #4 was for two brokerage sweep accounts. The accounts have been appropriately divided up as items #11 and #29.
2. Last year's item #34, Description of Assets, changed from the brokerage name to "Sweep Account."
3. Deleted "Common" from all references to "Common Stock," as shown in the FDR examples.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/20/2007

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



Date

April 20, 2007

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