

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2004

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) Wallace, J. Clifford		2. Court or Organization United States Court of Appeals Ninth i c it		3. Date of Report May 14, 2005
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Unite States Circuit Judge Senior Status		5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final		6. Reporting Period Januray 1, 2004 December 31, 2004
7. Chambers or Office Address United States Courthouse 940 Front Street, #4192 San Diego, California 92101		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.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐

NONE (No reportable positions.)

1	SEE ATTACHMENT	
2		
3		

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

DATE

PARTIES AND TERMS

☒

NONE (No reportable agreements.)

1		
2		

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of instructions.)

DATE

SOURCE AND TYPE

A. Filer's Non-Investment Income

☐

NONE (No reportable non-investment income.)

1		\$
2		\$
3		\$

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 bonarraria)

☐

NONE (No reportable non-investment income.)

1		
2		

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 FINANCIAL DISCLOSURE OFFICE

Wallace, J. Clifford

Date of Report May 14, 2005

Financial Disclosure Report for 2004

I: Positions

**Senior Advisor on Legal Systems
and Judicial Administration**

The Asia Foundation

Board of Visitors

**University of San Diego
School of Law**

Advisor

**Institute For the Study and
Development of Legal
Systems**

Advisor

**Thailand Judicial Training
Institute**

Advisor

**ABA Center for Human
Rights**

Member

**Council of Visitors of
California Western School
of Law**

Member

**ABA/UNDP International
Legal Resource Center
(ILRC)**

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Name of Person Reporting

Date of Report

J. CLIFFORD WALLACE

May 14, 2005

IV. REIMBURSEMENTS — transportation, lodging, food, entertainment (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

☐

NONE (No such reportable reimbursements.)

1

PLEASE SEE ATTACHED SHEET.

2

3

4

5

6

7

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

SOURCE

DESCRIPTION

VALUE

☒

NONE (No such reportable gifts.)

1

\$

2

\$

3

\$

4

\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☐

NONE (No reportable liabilities.)

1

City of Escondido

Mortgage

2

3

4

5

*Value Codes: J=\$15,000 or less

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

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

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

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=\$50,000,001 or more

Wallace, J. Clifford

Date May 14, 2005

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IV. Reimbursements

Source	Description
1. Department of State IFES Jakarta, Indonesia	Transportation, Food, Lodging, and Incidental Expenses 2/22-29/04
2. The Asia Foundation Dili, East Timor	Transportation, Food, Lodging, and Incidental Expenses 2/29-3/6/04
3. George Mason University La Jolla, California	Food, Lodging, and Expenses 3/26-28/04
4. The Furth Family Foundation Bucharest, Romania	Food, and Lodging Expenses 5/17-22/04
5. IOJT (International Organization Judicial Training) Jerusalem, Israel	Transportation, Food, Lodging, and Incidental Expenses 7/3-12/04
6. OPDAT Vientiane, Laos	Transportation, Food, Lodging, and Incidental Expenses 8/28-9/5/04
7. USAID Ottawa, Ontario, Canada	Transportation, Food, Lodging, and Incidental Expenses 10/30-11/5/04

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (includes those of spouse and dependent children. See pp. 34-60 of Instructions.)

A Description of Assets (including trust assets) <i>Place "X" after each asset exempt from prior disclosure.</i>	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			
	Am't. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
¹ Transwest Credit Union		Int.	K	T					
² Value Monitoring		Int.	O	T					
³									
⁴									
⁵									
⁶									
⁷									
⁸									
⁹									
¹⁰									
¹¹									
¹²									
¹³									
¹⁴									
¹⁵									
¹⁶									
¹⁷									

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

J. CLIFFORD WALLACE

Date of Report

May 14, 2005**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report)****NA**

Attached are copies of letters which I received from Judge Pratt dated July 31, 1990, and of my response thereto dated August 30, 1990, and from Judge Julian Cook, Jr., dated October 21, 1991, and of my response thereto dated November 20, 1991.

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

5/14/05

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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

Hon. John D. Pratt, Chairman

Joint Committee
of the
United States

201 Vermont Avenue, N.W.
Washington, D.C. 20544

JUL 31 1990

Honorable J. Clifford Wallace
United States Court of Appeals
425 United States Courthouse
940 Front Street
San Diego, California 92189

AUG 3 1990

Dear Judge Wallace:

This committee reviews Financial Disclosure Reports. A committee member has reviewed your 1988 Report and has commented on the following:

You have reported in part I, "Position," that you are a Senior Advisor on Legal Systems and Judicial Administration of the Asia Foundation. The nature of that entity and the extent of the functions that you perform in connection with it cannot be ascertained from the entry in your report. It is clear, nevertheless, that you receive substantial non-investment income from the organization. Your attention is invited to the provisions of Canon 5 of the Code of Conduct for United States Judges, as well as to Advisory Opinions 10, 30 and 62.

Because your position in this organization may conflict with a Code of Conduct, it is requested that you furnish the committee with additional information reconciling your position with the proscriptions of the Code.

In Section VII, line 9, the value code used is incorrect. The monetary ranges for the applicable value codes (J-P) are set forth at the end of Section VII on the Report form. In future reports, please use the proper codes.

May we have a response within 30 days, in three copies, with copy to the clerk of your court, with the information requested. Thank you for your cooperation.

Sincerely,

John D. Pratt
Chairman

For the Honorable
United States Commission
San Diego, California 92101

August 30, 1990

Honorable John H. Pratt
Chairman
Judicial Ethics Committee
811 Vermont Avenue, N.W.
Washington, D.C. 20544

Dear Judge Pratt:

I have reviewed your letter dated July 31, 1990. You raise two questions pertaining to my status as Senior Advisor on Legal Systems and Judicial Administration for The Asia Foundation.

Your first question asks for information about the "nature" of The Asia Foundation. The Asia Foundation is a private American non-profit organization incorporated under the laws of the State of California. For over 30 years it has been assisting institutions, organizations, and individuals in Asia and the Pacific in ways that contribute to their development, and to the long-term foreign policy interests of the American people. A principal emphasis in the Foundation's program is the promotion of legal institutions and procedures that provide safeguards for the human rights of citizens of countries in Asia and the Pacific.

Your second question asks for information about "the extent of the functions" that I perform. Primarily, I consult with judges and others in Asia and advise The Asia Foundation on programs to improve the administration of justice in Asian countries. At times, I also give lectures or teach while in Asia.

You have kindly called to my attention the prescriptions of the Code. I do not believe my service to The Asia Foundation violates the Code.

Very truly yours,

J. Clifford Wallace

cc: 1

cc: George Catterton, Esq.

JUDICIAL ETHICS COMMITTEE

Judicial Conference
of the
United States

Julian Abele Cook, Jr., Chairman

Howard C. Bratton
Dickinson R. Debevoise
Leonard I. Garth
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Norman P. Ramsey
Eugene A. Wright

811 Vermont Avenue, N.W.
Washington, D.C. 20544
(202) 755-7055
RS: 755-7055
FAX: 755-6510

JUL 21 1991

Honorable J. Clifford Wallace
Chief Judge, United States
Court of Appeals
4N25 United States Courthouse
940 Front Street
San Diego, California 92189

Dear Judge Wallace:

This Committee reviews Financial Disclosure Reports. A Committee Member has reviewed your 1989 Report and has commented on the following:

In Section IV, lines 3 and 5, you have reported gifts of transportation, food and lodging received from the Liberty Fund and the Anglo/American Exchange. Please provide additional information regarding the sources and circumstances of the gifts.

In Section VII, line 8, Subsection D, you indicated the purchase of a second home. Real property which is held as an investment or for the production of income should be listed in subsections (A-C) to disclose its description (city or county and state in which the property is located), income and value. In the event this is a second personal residence or a non-investment property, you are not required to disclose any information. Please provide the Committee with clarification of your interest in this property.

May we have a response within 30 days, in three copies, with the information requested. Thank you for your cooperation.

Sincerely,

Julian Abele Cook, Jr.
Chairman

United States Court of Appeals

For the Ninth Circuit

United States Courthouse

San Diego, California 92101

Chambers of

Clifford Wallace

Chief Judge

November 20, 1991

Honorable Julian Abele Cook, Jr.
Chairman
Judicial Ethics Committee
811 Vermont Avenue, N.W.
Washington, D.C. 20544

Dear Judge Cook:

I have reviewed your letter dated October 21, 1991, pertaining to my 1989 Financial Disclosure report.

Section IV, lines 3 and 5 - transportation, food, and lodging received from the Liberty Fund and the Anglo/American Exchange:

Liberty Fund - this is a tax-exempt, private operating foundation established to encourage study of the idea of a society of free and responsible individuals. It conducts conferences (for people from all walks of life), publishes books, and produces films. [redacted] and I were invited to attend. This program was entitled "Law, Liberty, and Responsible Individuals." They paid our transportation, food, and lodging while we attended the conference, and I assume they did this for every participant.

Anglo/American Exchange - I was selected by Chief Justice Rehnquist to be part of the American team of judges at this event, which occurs every three to four years. It is a well-known conference. I do not know the source of the money, but I am sure that Chief Justice Rehnquist, or Justice O'Connor our team leader, could enlighten you. Do you wish further information?

Section VII, line 8, Subsection D, line 8: This home was not purchased for investment purposes or in anticipation of income. This is a second personal home. Because I was not sure whether or not it should be in the report, I decided to include it to be on the safe side. I will not include it in the future.

Very truly yours,

[redacted signature]

J. Clifford Wallace

JCW:gl