

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

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

|                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                              |                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Farris, Joseph (Jerome) J.                                                                                                                           | <b>2. Court or Organization</b><br><br>Ninth Circuit Court of Appeals                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>5/14/2012                        |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Senior Circuit Judge                                                                          | <b>5a. Report Type</b> (check appropriate type)<br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>1010 5th Ave, Suite 1030<br>Seattle, WA 98104                                                                                                                                 |                                                                                                                                                                                                                                                                                              |                                                                  |
| <b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i> |                                                                                                                                                                                                                                                                                              |                                                                  |

**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 of Trustees | Morehouse College                  |
| 2.                   |                                    |
| 3.                   |                                    |
| 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.          |                          |
| 2.          |                          |
| 3.          |                          |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 7

Name of Person Reporting

Farris, Joseph (Jerome) J.

Date of Report

5/14/2012

**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><br>(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.          |                        |
| 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. Cornell Law School | February 12, 2011 | Ithaca, NY      | Judged Moot Court Competition | Transportation, meals, hotel  |
| 2.                    |                   |                 |                               |                               |
| 3.                    |                   |                 |                               |                               |
| 4.                    |                   |                 |                               |                               |
| 5.                    |                   |                 |                               |                               |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 7

Name of Person Reporting

Farris, Joseph (Jerome) J.

Date of Report

5/14/2012

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

| <u>CREDITOR</u>         | <u>DESCRIPTION</u>                                              | <u>VALUE CODE</u> |
|-------------------------|-----------------------------------------------------------------|-------------------|
| 1. Chase Manhattan      | Mortgage on Rental Property #1, Poulsbo, WA (Part VII, Line 1)  | J                 |
| 2. Wachovia/Wells Fargo | Mortgage on Rental Property #7, Atlanta, GA (Part, VII, Line 5) | L                 |
| 3.                      |                                                                 |                   |
| 4.                      |                                                                 |                   |
| 5.                      |                                                                 |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Farris, Joseph (Jerome) J.

Date of Report

5/14/2012

## 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.<br>Description of Assets<br>(including trust assets) | B.<br>Income during<br>reporting period |                                        | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                          |                                                            |
|---------------------------------------------------------|-----------------------------------------|----------------------------------------|-------------------------------------------------|------------------------------------|--------------------------------------------|------------------|--------------------------|--------------------------|------------------------------------------------------------|
|                                                         | (1)                                     | (2)                                    | (1)                                             | (2)                                | (1)                                        | (2)              | (3)                      | (4)                      | (5)                                                        |
|                                                         | Amount<br>Code 1<br>(A-11)              | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-11) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental Property #1, Poulsbo, WA                      | D                                       | Rent                                   | N                                               | W                                  |                                            |                  |                          |                          |                                                            |
| 2. Rental Property #2, Seattle, WA                      | D                                       | Rent                                   | N                                               | W                                  |                                            |                  |                          |                          |                                                            |
| 3. Rental Property #3, Montego Bay, Jamaica             |                                         | None                                   | N                                               | W                                  |                                            |                  |                          |                          |                                                            |
| 4. Rental Property #4, Kent, WA                         | D                                       | Rent                                   | N                                               | W                                  |                                            |                  |                          |                          |                                                            |
| 5. Rental Property #7, Atlanta, GA                      | C                                       | Rent                                   | M                                               | W                                  |                                            |                  |                          |                          |                                                            |
| 6. Charles Schwab Stock Portfolio:                      |                                         |                                        |                                                 |                                    |                                            |                  |                          |                          |                                                            |
| 7. Microsoft                                            |                                         | None                                   | K                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 8. ICOS                                                 |                                         | None                                   | K                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 9. Pacific Northwest Bank/Wells Fargo                   |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 10. AT&T Corp.                                          |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 11. AT&T Corp                                           |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 12. Tricon Global Restr.                                |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 13. Intel Corp.                                         |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 14. Intel Corp.                                         |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 15. General Electric                                    |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 16. Safeco Corp                                         |                                         | None                                   | J                                               | T                                  |                                            |                  |                          |                          |                                                            |
| 17. Hewlett Packard                                     |                                         | None                                   | 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

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

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

# FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

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5/14/2012

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                        | C.<br>Gross value at end<br>of reporting period |                                    | D.<br>Transactions during reporting period |                  |                          |                         |                                                            |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|----------------------------------------|-------------------------------------------------|------------------------------------|--------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                             | (1)                                     | (2)                                    | (1)                                             | (2)                                | (1)                                        | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                             | Amount<br>Code 1<br>(A-H)               | Type (e.g.,<br>div., rent,<br>or int.) | Value<br>Code 2<br>(J-P)                        | Value<br>Method<br>Code 3<br>(Q-W) | Type (e.g.,<br>buy, sell,<br>redemption)   | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Washington Federal Money Market Account                                                                                 | A                                       | Interest                               | J                                               | T                                  |                                            |                  |                          |                         |                                                            |
| 19. Wachovia Bank/Wells Fargo - Money<br>Market Account                                                                     | A                                       | 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  
H = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000  
I = 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  
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**FINANCIAL DISCLOSURE REPORT**  
Page 6 of 7

Name of Person Reporting

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Date of Report

5/14/2012

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

Part VI Liabilities

Part VII Investments and Trusts

Part I, Positions: #2 is now blank. My term as a board member on the Wellness Committee ended in September of 2010.

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 7

Name of Person Reporting

Farris, Joseph (Jerome) J.

Date of Report

5/14/2012

**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: **s/ Joseph (Jerome) J. Farris**

**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)**

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
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