

United States Court of Appeals
Ninth Circuit



Chambers of
HARRY PREGERSON
United States Circuit Judge

21800 Oxnard Street, Suite 1140
Woodland Hills, California 91367
Telephone [818] 710-7791
[REDACTED]

August 27, 2009

Bobby R. Baldock, Chair
COMMITTEE ON FINANCIAL DISCLOSURE
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544

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DISCLOSURE OFFICE

Re: Calendar Year 2008 - *Amended* Federal Disclosure Statement
Filing of Harry Pregerson

Dear Mr. Baldock:

Enclosed please find four copies of my 2008 *Amended* Financial Disclosure report, which responds to the issues raised in your August 11, 2009 letter. The *Amended* Financial Disclosure report was prepared by my accountant, B. Andrew Chapkis, CPA.

Kindest regards,

[REDACTED]
Harry Pregerson

HP:ks
Enclosure

Pregerson, Harry

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 08/17/2009
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address 21800 Oxnard Street Suite 1140 Woodland Hills, Ca 91367	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. Member	Marine Corps Reserve Officers Association
2. Member	Advisory Board, Childhelp USA
3. Member	Advisory Board of Directors, Metropolitan Division, The Salvation Army
4. Member	Board of Trustees, Devil Pups, Inc
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.	

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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. 2008	State of California Judge's Retirement System	\$17,196.77
2. 2008	GGWH LLC	\$18,000.00
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. 2008	Los Angeles Community College District - Salary
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.)*

<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. _____	_____	_____
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. Lot ●, Oxnard Shoes, CA (1964)		None	O	W					
2. Lot ●, Oxnard Shoes, CA (1964)		None	O	W					
3. Part of Lot ●, Woodland Hills, CA (1963)		None	O	W					
4. Part of Lot ●, Woodland Hills, CA (1979)		None	N	W					
5. Part of Lot ●, Woodland Hills, CA (1984)		None	N	W					
6. Limited Partnership Interest in Penn Cal Investors, Cal LTD	G	Rent	O	W					
7. CGM403(B) Custodian UIPL LA Community College									
8. - CG Capital Markets Lg Capital Value Investments	D	Dividend	M	T	Sold (part)	01/18	J	A	
9. - CG Capital Markets Sm Capital Value Investments	A	Dividend	K	T	Sold (part)	10/29	J	A	
10. - CG Capital Markets Emerging Markets Investments	C	Dividend	L	T					
11. - CG Capital Markets International Equity Investments	D	Dividend	L	T	Sold (part)	04/11	K	D	
12.					Sold (part)	09/18	K	A	
13. - CG Capital Markets Lg Cap Growth Investment	A	Dividend	M	T	Sold (part)	01/18	K	C	
14.					Sold (part)	04/11	K	C	
15. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Sold (part)	01/18	J	A	
16.					Sold (part)	10/29	J	A	
17. - CG Capital Markets Core Fixed Income Fund	C	Dividend	K	T	Sold (part)	01/18	K	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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Name of Person Reporting

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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 I (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.					Sold (part)	04/11	K	A	
19.					Sold (part)	09/19	J	A	
20.					Sold (part)	10/29	J	A	
21. - CG Capital Markets International Fixed Income Investments	B	Dividend	J	T	Sold (part)	01/18	J	A	
22.					Sold (part)	09/19	J	A	
23. - CG Capital Markets Money Market Fund	A	Dividend	J	T					
24. Minnesota Life Ins Single Pmnt Annuity Non-qualified	F	Distribution			Distributed				
25. IRA Acct Wachovia Securities Bank Deposit Sweep Option (Y)									
26. Washington Mutual/Chase	C	Interest	K	T					
27. Bank Deposit Sweep Option (Y)									
28. Janus Money Market Fund (Y)									
29. Centennial Money Market TR (Y)									
30. Wachovia Bank CD	B	Interest	L	T	Buy	11/01	L		
31. Wachovia Bank CD	C	Interest	L	T	Buy	09/01	L		
32. Wachovia Bank CD	B	Interest	L	T	Buy	04/01	L		
33. Wachovia Bank CD	B	Interest	L	T	Buy	04/01	L		
34. Wachovia Bank CD	D	Interest	L	T	Buy	03/01	L		

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Wachovia Bank	A	Interest	J	T					
36. Smith Barney Muni FDS CA Money Market (Y)									
37. Smith Barney Aggressive Growth (Y)									
38. Smith Barney Appreciation Fund Class B (Y)									
39. Smith Barney									
40. - CG Capital Markets Gov-t Muni Investm ent (Y)									
41. - CG Capital Markets Core Fixed Income F und	B	Dividend	J	T	Sold (part)	12/16	J	A	
42. - CG Capital Markets Lg Capital Value Inve stments	C	Dividend	J	T	Sold (part)	12/16	L	A	
43.					Buy (add'l)	04/11	K		
44.					Buy (add'l)	10/29	J		
45. - CG Capital Markets Sm Capital Value Inve stments	A	Dividend	J	T	Buy (add'l)	04/11	J		
46.					Buy (add'l)	09/19	J		
47.					Sold (part)	12/16	J	A	
48. - CG Capital Markets Emerging Markets I nvestments	A	Dividend	K	T	Buy (add'l)	01/18	J		
49.					Buy (add'l)	04/11	J		
50.					Buy (add'l)	09/19	J		
51.					Sold (part)	12/16	K	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 = \$55,000,001 - \$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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. - CG Capital Markets International Fixed Income Investments	A	Dividend	J	T	Buy	04/11	J		
53.					Sold (part)	12/16	J	A	
54. - CG Capital Markets International Equity Investments	D	Dividend	M	T	Buy (add'l)	01/18	K		
55.					Buy (add'l)	10/29	J		
56.					Sold (part)	12/16	K	A	
57. - CG Capital Markets Lg Cap Growth Investment	B	Dividend	M	T	Buy (add'l)	9/19	J		
58.					Buy (add'l)	10/29	J		
59.					Sold (part)	12/16	L	A	
60. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Buy (add'l)	04/11	J		
61.					Buy (add'l)	09/19	J		
62.					Sold (part)	12/16	J	A	
63. - Eurobank CD	C	Interest	L	T	Buy	03/27	L		
64. - Capital One Bank CD	C	Interest	L	T	Buy	03/27	L		
65. - Capital One NA CD	C	Interest	L	T	Buy	03/27	L		
66. - Countrywide Bank CD	C	Interest	L	T	Buy	03/27	L		
67. - Silverton Bank CD	C	Interest	L	T	Buy	03/27	L		
68. - Western Asset Class A CG Capital Mks Money Fund		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 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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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)
69. Northern Trust									
70. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	T					
71. - MFB NTHN CA Mun Money Mkt	B	Interest	M	T	Buy	10/30	M		
72. The Oakmark Funds		None			Sold	10/29	M	A	
73. Plains Capital Bank (Y)									
74. Raymond James									
75. - Citigroup CHP XVII	A	Interest	J	T					
76. - US Treasury Bills 08/15/23	B	Interest	L	T	Buy (add'l)	01/29	K		
77.					Buy (add'l)	01/31	K		
78.					Buy (add'l)	02/04	K		
79. - US Treasury Bills 08/15/21	A	Interest	K	T	Buy (add'l)	01/29	K		
80.					Buy (add'l)	01/31	K		
81. - US Treasury Bills 08/15/20	B	Interest	K	T	Buy (add'l)	01/29	K		
82. - US Treasury Bills 08/15/22	B	Interest	K	T	Buy	01/31	K		
83. - US Treasury Bills 08/15/24	B	Interest	K	T	Buy (add'l)	01/31	L		
84. - US Treasury Bills 08/15/26	B	Interest	K	T					
85. - JP Morgan Chase CO Notes	A	Dividend	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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☐ 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)
86. - Raymond James Money Market (X)	A	Interest	L	T					
87. - Schlumberger LTD Stock	A	Dividend	K	T					
88. - Microsoft Coporation Stock	A	Dividend	J	T					
89. - Nuveen Preferred & Conv Income Fund 2	A	Dividend	J	T					
90.					Buy (add'l)	10/29	J		
91.					Buy (add'l)	11/05	J		
92. - Community Bank & Trust CD	A	Interest	K	T	Buy	10/29	K		
93. Raymond James IRA #1: Microsoft Corpora tion Stock	A	Dividend	K	T					
94. Raymond James IRA #2: Community Bank & Trust CD	A	Interest	J	T	Buy	10/29	J		
95. EdwardJones: Indymac Bank CD	A	Interest			Redeemed	01/14	L		
96 EdwardJones: Washington Mutual Bank CD	D	Interest			Redeemed (part)	01/11	J		
97.					Redeemed (part)	05/16	L		
98.					Redeemed	11/28	L		
99. Harry Pregerson 1996 Irrevocable Trust									
100. - CalNational Bank	A	Interest	J	T					
101 - Janus Fund	A	Dividend	J	T					
102. Ing Direct									

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: Corrections to 2007 Disclosure Report

1. Asset #16 Janus Twenty Fund sold in 2007
2. Asset #17 Janus Contrarian Fund #37 sold in 2007
3. Asset #18 Janus Research Fund sold in 2007
4. Asset #19 Janus Olympus Fund changed its name before 2007 to Orion which was sold in 2007
5. Asset #20 Janus Orion Fund sold in 2007
6. Asset # 21-26 Janus Money Market Fund combined to one fund on 2008 report
7. Asset #43 Orion Bank CD Naples FL sold in 2007
8. Asset #44 Northern Trust did not show detail of 2 assets on 2007 report
9. Asset #8 CGM403(B) Custodian UIPL LA did not show asset details on 2007 report

Explanations to 2008 report:

1. Asset # 99-101: Harry Pregerson 1996 Irrevocable Trust was not reported on 2007 report
2. Asset #21 purchased before 2007, but was not reported on 2007 report
3. Asset #102-105 aquired in 2007, but were never reported on 2007 report

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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

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 07/10/2009
4. Title (Article III judges indicate active or senior status, magistrate judges indicate full- or part-time) United States Circuit Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address 21800 Oxnard Street Suite 1140 Woodland Hills, Ca 91367	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Member	Marine Corps Reserve Officers Association
2. Member	Advisory Board, Childhelp USA
3. Member	Advisory Board of Directors, Metropolitan Division, The Salvation Army
4. Member	Board of Trustees, Devil Pups, Inc
5	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1	
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. 2008	State of California Judge's Retirement System	\$17,196 77
2. 2008	GGWH LLC	\$18,000 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. 2008	Los Angeles Community College District - Salary
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.)*

<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. _____	_____	_____
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. Lot ● Oxnard Shoes, CA (1964)		None	O	W					
2. Lot ● Oxnard Shoes, CA (1964)		None	O	W					
3. Part of Lot ● Woodland Hills, CA (1963)		None	O	W					
4. Part of Lot ● Woodland Hills, CA (1979)		None	N	W					
5. Part of Lot ● Woodland Hills, CA (1984)		None	N	W					
6. Limited Partnership Interest in Penn Cal Investors, Cal LTD	G	Rent	O	W					
7. CGM403(B) Custodian UIPL LA Community College									
8. - CG Capital Markets Lg Capital Value Investments	D	Dividend	M	T	Sold (part)	01/18	J	A	
9. - CG Capital Markets Sm Capital Value Investments	A	Dividend	K	T	Sold (part)	10/29	J	A	
10. - CG Capital Markets Emerging Markets Investments	C	Dividend	L	T					
11. - CG Capital Markets International Equity Investments	D	Dividend	L	T	Sold (part)	04/11	K	D	
12.					Sold (part)	09/18	K	A	
13. - CG Capital Markets Lg Cap Growth Investment	A	Dividend	M	T	Sold (part)	01/18	K	C	
14.					Sold (part)	04/11	K	C	
15. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Sold (part)	01/18	J	A	
16.					Sold (part)	10/29	J	A	
17. - CG Capital Markets Core Fixed Income Fund	C	Dividend	K	T	Sold (part)	01/18	K	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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18.					Sold (part)	04/11	K	A	
19.					Sold (part)	09/19	J	A	
20.					Sold (part)	10/29	J	A	
21 - CG Capital Markets International Fixed Income Investments	B	Dividend	J	T	Sold (part)	01/18	J	A	
22					Sold (part)	09/19	J	A	
23 - CG Capital Markets Money Market Fund	A	Dividend	J	T					
24. Minnesota Life Ins Single Pmnt Annuity Non-qualified	F	Distribution			Distributed				
25. IRA Acct Wachovia Securities Bank Deposit Sweep Option (Y)									
26. Washington Mutual/Chase	C	Interest	K	T					
27 Bank Deposit Sweep Option (Y)									
28. Janus Money Market Fund (Y)									
29. Centennial Money Market TR (Y)									
30. Wachovia Bank CD	B	Interest	L	T					
31. Wachovia Bank CD	C	Interest	L	T					
32. Wachovia Bank CD	B	Interest	L	T					
33. Wachovia Bank CD	B	Interest	L	T					
34. Wachovia Bank CD	D	Interest	L	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	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	
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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)

35. Wachovia Bank	A	Interest	J	T					
36. Smith Barney Muni FDS CA Money Market (Y)									
37. Smith Barney Aggressive Growth (Y)									
38. Smith Barney Appreciation Fund Class B (Y)									
39. Smith Barney									
40. - CG Capital Markets Gov't Muni Investm ent (Y)									
41. - CG Capital Markets Core Fixed Income F und	B	Dividend	J	T	Sold (part)	12/16	J	A	
42. - CG Capital Markets Lg Capital Value Inve stments	C	Dividend	J	T	Sold (part)	12/16	L	A	
43.					Buy (add'l)	04/11	K		
44.					Buy (add'l)	10/29	J		
45. - CG Capital Markets Sm Capital Value Inve stments	A	Dividend	J	T	Buy (add'l)	04/11	J		
46.					Buy (add'l)	09/19	J		
47.					Sold (part)	12/16	J	A	
48. - CG Capital Markets Emerging Markets I nvestments	A	Dividend	K	T	Buy (add'l)	01/18	J		
49.					Buy (add'l)	04/11	J		
50.					Buy (add'l)	09/19	J		
51.					Sold (part)	12/16	K	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	
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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)

52. - CG Capital Markets International Fixed Income Investments	A	Dividend	J	T	Buy	04/11	J		
53					Sold (part)	12/16	J	A	
54. - CG Capital Markets International Equity Investments	D	Dividend	M	T	Buy (add'l)	01/18	K		
55					Buy (add'l)	10/29	J		
56					Sold (part)	12/16	K	A	
57. - CG Capital Markets Lg Cap Growth Investment	B	Dividend	M	T	Buy (add'l)	9/19	J		
58					Buy (add'l)	10/29	J		
59.					Sold (part)	12/16	L	A	
60. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Buy (add'l)	04/11	J		
61.					Buy (add'l)	09/19	J		
62.					Sold (part)	12/16	J	A	
63. - Eurobank CD	C	Interest	L	T	Buy	03/27	L		
64. - Capital One Bank CD	C	Interest	L	T	Buy	03/27	L		
65. - Capital One NA CD	C	Interest	L	T	Buy	03/27	L		
66. - Countrywide Bank CD	C	Interest	L	T	Buy	03/27	L		
67. - Silverton Bank CD	C	Interest	L	T	Buy	03/27	L		
68. - Western Asset Class A CG Capital Mks Money Fund		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 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				
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69. Northern Trust									
70. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	T					
71. - MFB NTHN CA Mun Money Mkt	B	Interest	M	T	Buy	10/30	M		
72. The Oakmark Funds		None			Sold	10/29	M	A	
73. Plains Capital Bank (Y)									
74. Raymond James									
75. - Citigroup CHP XVII	A	Interest	J	T					
76. - US Treasury Bills 08/15/23	B	Interest	L	T	Buy (add'l)	01/29	K		
77.					Buy (add'l)	01/31	K		
78.					Buy (add'l)	02/04	K		
79. - US Treasury Bills 08/15/21	A	Interest	K	T	Buy (add'l)	01/29	K		
80.					Buy (add'l)	01/31	K		
81. - US Treasury Bills 08/15/20	B	Interest	K	T	Buy (add'l)	01/29	K		
82. - US Treasury Bills 08/15/22	B	Interest	K	T	Buy	01/31	K		
83. - US Treasury Bills 08/15/24	B	Interest	K	T	Buy (add'l)	01/31	L		
84. - US Treasury Bills 08/15/26	B	Interest	K	T					
85. - JP Morgan Chase CO Notes	A	Dividend	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 = \$250,000,001 - \$500,000,000	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.)

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86 - Cash in client interest program	A	Interest	L	T					
87 - Schlumberger LTD Stock	A	Dividend	K	T					
88 - Microsoft Coporation Stock	A	Dividend	J	T					
89 - Nuveen Preferred & Conv Income Fund 2	A	Dividend	J	T					
90					Buy (add'l)	10/29	J		
91					Buy (add'l)	11/05	J		
92 - Community Bank & Trust CD	A	Interest	K	T	Buy	10/29	K		
93. Raymond James IRA #1. Microsoft Corpora tion Stock	A	Dividend	K	T					
94. Raymond James IRA #2 Community Bank & Trust CD	A	Interest	J	T	Buy	10/29	J		
95 EdwardJones Indymac Bank CD	A	Interest			Redeemed	01/14	L		
96 EdwardJones Washington Mutual Bank CD	D	Interest			Redeemed (part)	01/11	J		
97					Redeemed (part)	05/16	L		
98					Redeemed	11/28	L		
99. Harry Pregerson 1996 Irrevocable Trust									
100. - CalNational Bank	A	Interest	J	T					
101 - Janus Fund	A	Dividend	J	T					
102. Ing Direct									

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
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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.)

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103 - Orange Savings	B	Interest	K	T					
104. - Orange CD	B	Interest	K	T					
105 - Orange CD	B	Interest	K	T					
106									

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
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3 Value Method Codes (See Column C2)					

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

Part VII: Corrections to 2007 Disclosure Report

- 1 Asset #16 Janus Twenty Fund sold in 2007
- 2 Asset #17 Janus Contrarian Fund #37 sold in 2007
- 3 Asset #18 Janus Research Fund sold in 2007
- 4 Asset #19 Janus Olympus Fund changed its name before 2007 to Orion which was sold in 2007
- 5 Asset #20 Janus Orion Fund sold in 2007
- 6 Asset # 21-26 Janus Money Market Fund combined to one fund in 2008 report
7. Asset #43 Orion Bank CD Naples FL sold in 2007
- 8 Aseet #44 Northern Trust did not show detail of 2 assets in 2007 report
- 9 Asset #8 CGM403(B) Custodian UIPL LA did not show asset details in 2007 report
10. Harry Pregerson 1996 Irrevocable Trust was not reported in 2007 report

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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

A large black rectangular redaction box covering the signature area.

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