

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 04/12/2010
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 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 filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	Las Familias del Pueblo (a not-for-profit corporation)
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. 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 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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	Retirement Benefits, State of California	\$2,522.00
2. 2009	Retirement Benefits, Los Angeles County	\$11,564.00
3. 2009	Retirement Benefits, State of California Judges	\$41,920.00
4. 2009	West Services Inc.	\$13,297.00

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. 2009	Retirement Plan of Citibank
2. 2009	Retirement Plan of Honeywell
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.				

FINANCIAL DISCLOSURE REPORT
Page 3 of 10

Name of Person Reporting
Alarcon, Arthur L.

Date of Report
04/12/2010

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.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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. Cal Western Life Ins Co	A	Interest	K	W					
2. U.S. Treasury Bills	A	Interest	K	T	Redeemed (part)	06/04/09	K		
3.					Buy (add'l)	06/04/09	K		
4.					Redeemed (part)	12/03/09	K		
5.					Buy (add'l)	12/03/09	K		
6.					Redeemed (part)	08/28/09	K		
7.					Buy (add'l)	08/28/09	K		
8. United Airline Stock		None	J	T					
9. Citibank Accounts	A	Interest	K	T					
10. Brokerage Account #1:									
11. - TD Ameritrade MMDA Sweep Account	A	Interest	K	T					
12. - Citigroup Stock	A	Dividend	J	T					
13. - Coca Cola Stock	A	Dividend	J	T					
14. - Hewlett Packard Stock	A	Dividend	K	T					
15. - Microsoft Stock	A	Dividend	J	T					
16. - Proctor & Gamble Stock	A	Dividend	J	T					
17. - Nokia Stock	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	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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (I-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - IBM Stock	A	Dividend	J	T					
19. - Sara Lee Stock	A	Dividend	J	T					
20. - Mastercard Inc Stock	A	Dividend	J	T					
21. - Paterson-UTI Energy Inc Stock	A	Dividend	J	T					
22. Brokerage Account #2:									
23. - TD Ameritrade MMDA Sweep Account	A	Interest	K	T					
24. - Honeywell Stock	A	Dividend	K	T					
25. - Cisco Stock		None	K	T	Sold (part)	10/23/09	J		
26. - Pfizer Stock	A	Dividend	J	T					
27. - Merck Stock	A	Dividend	J	T					
28. - International Paper Stock	A	Dividend			Sold	10/23/09	J		
29. - EXXON Mobile Corp Stock	A	Dividend	J	T					
30. - 3M Company Stock	A	Dividend	J	T					
31. - Intel Stock	A	Dividend	J	T					
32. - Clorox Company Stock	A	Dividend	J	T					
33. - Newell Rubbermaid Inc Stock	A	Dividend	J	T					
34. - Citigroup Inc Stock	A	Dividend	J	T	Buy (add'l)	10/23/09	J		

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)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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. - GE Stock	A	Dividend	J	T					
36. Brokerage Account #3:									
37. - Wells Fargo Bank Deposit Sweep Option	A	Interest	J	T					
38. - Lehman Commercial Bank CD	C	Interest			Redeemed	08/17/09	L		
39. - Calif State Bond (acquired 12/15/08)	D	Interest	M	T					
40. - Carolina First Bank CD	B	Interest			Redeemed	01/30/09	L		
41. - National Bank CD	C	Interest			Redeemed	06/19/09	L		
42. - Silverton Bank CD	B	Interest			Redeemed	05/07/09	L		
43. - Southwest Bank CD	D	Interest	L	T					
44. - American Express FSB CD	A	Interest			Buy	02/03/09	L		
45.					Redeemed	05/11/09	L		
46. - Midfirst Bank CD		None	L	T	Buy	05/21/09	L		
47. - Carolina First Bank CD		None	L	T	Buy	05/21/09	L		
48. - Beal Bank CD	A	Interest			Buy	06/24/09	M		
49.					Redeemed	09/30/09	M		
50. - First Bank PR CD	A	Interest			Buy	08/21/09	L		
51.					Redeemed	11/30/09	L		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code I (A-H)	(5) Identity of buyer/seller (if private transaction)
52. -GE Money Bank CD		None	M	T	Buy	10/06/09	M		
53. - Ca St Rev Bond (acquired 12/01/09)		None	L	T	Buy	12/01/09	L		
54. Brokerage Account #4:									
55. - Wells Fargo Bank Deposit Sweep Option	A	Interest	J	T					
56. - American Exp Bank CD	A	Interest			Redeemed	03/03/09	M		
57. - Bank India CD	C	Interest			Redeemed	07/08/09	L		
58. - Colonial Bank CD	C	Interest			Redeemed	06/04/09	L		
59. - Wachovia Bank CD	A	Interest			Redeemed	04/13/09	L		
60. - Bank Baroda CD		None	M	T	Buy	09/14/09	M		
61. - Beal Bank CD	A	Interest			Buy	06/04/09	M		
62.					Redeemed	09/09/09	M		
63. - Wilmington TR CO CD	A	Interest			Buy	07/15/09	M		
64.					Redeemed	10/22/09	M		
65. - Greystone Bank CD		None	L	T	Buy	11/12/09	L		
66. - Ca St Econ Recov Ser B Bond (acquired 5/21/09)	B	Interest	L	T	Buy	05/21/09	L		
67. - Ca St Pub Wks Brd Bond (acquired 3/24/09)	C	Interest	L	T	Buy	03/24/09	L		
68. - Ca St Univ Rev Ref Bond (acquired 03/24/09)	B	Interest	K	T	Buy	03/24/09	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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. - Ca St Econ Recov Ser A Bond (acquired 4/23/09)	B	Interest	K	T	Buy	04/23/09	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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

1) Part VII: differences between 2008 and 2009 for entries in Column B (Income) and C (Gross Value) are due to fluctuation in stock prices and interest/dividends.

2) Part VII, the "Audit" flagged lines 10, 22, 36, and 54 with "...if the entry in column A is not a header then...." The entries in lines 10, 22, 36, and 54 are headers.

3) Part VII, lines 37 and 55, Column A: formerly Wachovia Bank. (Column A is not large enough to add "(formerly Wachovia Bank)" after Wells Fargo Bank.)

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

04/12/2010

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