

FINANCIAL DISCLOSURE REPORT

FOR CALENDAR YEAR 2003

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) FERNANDEZ, FERDINAND F		2. Court or Organization NINTH CIRCUIT COURT OF APPEALS		3. Date of Report Apr. 21, 2004	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Senior		5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final		6. Reporting Period 1/1/03 - 12/31/03	
7. Chambers or Office Address 125 So. Grand Ave. Pasadena, CA, 91105		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 **Member, Board of Trustees**

Pomona College

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

GROSS INCOME

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 honoraria)

☐

NONE (No reportable non-investment income.)

1

2003

Chaffey College

2

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APR 29 9 23 AM '04
FINANCIAL DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FERNANDEZ, FERDINAND F

Date of Report

APR 21, 2004

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>
☒	NONE (No such reportable reimbursements.)	
1		
2		
3		
4		
5		
6		
7		

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
☐	NONE (No such reportable gifts.)		
1	<i>West Publishing Co.</i>	<i>books</i>	<i>\$ 350.00</i>
2			\$
3			\$
4			\$

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
☒	NONE (No reportable liabilities.)		
1			
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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting:

FERNANDEZ, FERDINAND F

Date of Report

APR 21, 2004

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(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,									
1 Accts. at Fidelity First Fed. Bank	B	Int.	M	T					
2 Accts. at Wells Fargo Bank	B	Int.	L	T					
3 Accts. at Washington Mutual Bank	B	Int.	M	T					
4 Accts. at Bank of America	B	Int.	M	T					
5 Accts. at Dowd Savings	C	Int.	L	T					
6 Accts. at World Savings Bank	B	Int.	M	T					
7 Acct. at Community Bank	C	Int.	M	T					
8 Acct. at Foothill Ind. Bank	B	Int.	M	T					
9 Acct. at Vineyard National Bank	C	Int.	L	T					
10 Acct. at Pacific Western Bank	B	Int.	M	T					
11 Acct. at Citizens Business Bank	B	Int.			Closed	7/18	L		
12 Life Investors Ins. Tax Sheltered Annuity	D	Int.			Surrendered	9/25	M		
13 Transamerica Life Ins. Tax Sheltered Annuity	A	Int.			Surrendered	9/24	J		
14 Reliance Life Ins. Tax Sheltered Annuity	B	Int.			Surrendered	10/15	L		
15 Oppenheimer Fund Tax Sheltered Annuity	B	DIV.			Surrendered	9/19	J	A	
16 SSGA Money Mkt. Fund IRA	A	DIV.			Redeemed	1/15	K	A	
17 Fidelity Investments Spartan Calif. Muni Fund	A	DIV.			Sold	3/26	K	A	

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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 E=\$15,001-\$50,000	F=\$50,001-\$100,000 G=\$100,001-\$1,000,000
2	Value Codes: J=\$15,000 or less (See Col. C1, D3) 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: Q=Appraisal (See Col. C2) U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FERNANDEZ, Ferdinand F

Date of Report

Apr 27, 2004

VII. Page 2 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Asset 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-F)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets,									
18. Agency Acct. <i>Banque Fut Fed</i>									
a Federated Fund	A	Int.	K	T					
b GNMA Pool	A	Int.	J	T					
c Scudder Int'l Equity Fund	A	Div.	J	T					
d Vanguard Index 500 Investor (formerly Admiral)	A	Div.	K	T					
e Federated High Yield Fund	B	Div.	J	T					
f Merrill Low Duration (formerly Mercury Low Duration)	A	Div.	J	T					
g Strong Govt Securities	A	Div.	K	T					
h Federated GNMA	B	Int.	K	T					
i Gabelli Growth	A	Div.	J	T					
j Janus Worldwide Fund	A	Div.	J	T					
k Goldman Sachs Global	A	Div.	J	T					
l Janus Twenty Fund	A	Div.	J	T					
m Legg Mason Value Nav.	A	Div.	J	T					
n Rydex OTC	B	Div.	J	T					
o GMO Tobacco Free Core	A	Div.	J	T					
p RS Emerging Growth	A	Div.	J	T					

1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: A=\$15,000 or less (See Col. C1, D3) N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	K=\$15,001-\$50,000 O=\$500,001-\$1,000,000 P4=More than \$50,000,000	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: Q=Appraisal (See Col. C2) U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

FERNANDEZ, FERDINAND F APR. 21, 2004

VII. Page 3 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-37 of Instructions.)

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) Amt. Code1 (A-H)	(2) Type (e.g. div, rent or int.)	(1) Value Code2 (J-P)	(2) Value Method Code3 (Q-W)	(1) Type (e.g. buy, sell, merge, redemption)	If not exempt from disclosure			
						(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,									
19 VST Bills	A	Int.	J	T					
20 VST Bills	A	Int.	J	T					
21 VST Bills	A	Int.	J	T					
22 VST Bills	A	Int.	J	T					
23 VST Bills	A	Int.	K	T					
24 VST Bills	A	Int.	K	T					
25 VST Bills	A	Int.	K	T					
26 VST Bills	A	Int.	K	T					
27 VST Bills	A	Int.	K	T					
28 VST Bills	A	Int.	K	T					
29 VST Bills	B	Int.	M	T					
30 VST Bills	A	Int.	L	T					
31 VST Bills	A	Int.	L	T	Buy	7/24	L		
32 Trust #1 (Confucius Income)									
a. Wells Fargo Comm Trust	B	Div.	M	T					
b. 1/2 int in real prop									
c. in Clifton, AL 13 (Charles Spence Trust)		None	J	W					

1 Income/Gain Codes:	A=\$1,000 or less (See Col. B1, D4)	B=\$1,001-\$2,500 C=\$2,501-\$5,000	D=\$5,001-\$15,000 E=\$15,001-\$50,000
2 Value Codes:	J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 L=\$50,001-\$100,000	M=\$100,001-\$250,000 N=\$250,001-\$500,000
3 Value Method Codes:	O=Appraisal (See Col. C2)	P=\$500,001-\$1,000,000 Q=\$1,000,001-\$5,000,000	R=Cost (real estate only) S=Assessment T=Cash/Market W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

FERNANDEZ, FERDINAND F

APR 21, 2004

VII. Page 4 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Asset Code (A-F)	Type (e.g., div., rent or int.)	Value Code (J-R)	Value Method Code (Q-W)	Type (e.g., buy, sell, merges, redemption)	(2) Date: Month- Day	(3) Value Code (J-P)	(4) Gain Code (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets,									
33. Acc. at Union Bank	C	Int.	M	T					
34. IRA at Edward Jones									
a. Acct - State Bank of Fargo, No Data	A	Int	K	T	Deposit	10/20	K		
b. Select Notes Trust Securities	A	Int.	J	T	Buy	9/25	J		
c. U.S. Treasury Note	A	Int.	J	T	Buy	10/20	J		
d. GAMA Pool Certificate	A	Int.	K	T	Buy	10/20	K		
e. Cap Income Builder Fund	A	Div.	K	T	Buy	10/20	K		
f. Growth Fund of America	A	Div.	K	T	Buy	10/20	K		
g. Income Fund of America	A	Div.	K	T	Buy	10/20	K		
h. Van Kampen Comstock Fund	A	Div.	K	T	Buy	10/20	K		
i. Van Kampen Enterprise Fund	A	Div.	K	T	Buy	10/20	K		
j. Van Kampen Pace Fund	A	Div.	K	T	Buy	10/20	K		
k. Van Kampen Real Est Fund	A	Div.	J	T	Buy	10/20	J		
l. Wash. Mot Investors	A	Div.	K	T	Buy	10/20	K		
15									
16									
17									

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	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: J=\$15,000 or less (See Col. C1, D3) 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: O=Appraisal (See Col. C2) U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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Name of Person Reporting

FERNANDEZ, FERDINAND F

Date of Report

Apr 21, 2004

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

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

Apr 21, 2004

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