

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) Houston, John A.	2. Court or Organization Southern District of California	3. Date of Report 05/14/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Court	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address 940 Front Street Suite 2140 San Diego, CA 92101-1118	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.	Co-Trustee	Trust
2.		
3.		
4.		
5.		

RECEIVED
 MAY 20 10 3:30
 FINANCIAL
 DISCLOSURE OFFICE

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.	

Houston, John A.

FINANCIAL DISCLOSURE REPORT
Page 2 of 8

Name of Person Reporting
Houston, John A.

Date of Report
05/14/2010

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.		
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. 2009	Self Employed (consultant/clinical psychologist)
2. 2009	ERM, San Diego, CA (consulting)
3. 2009	Center For Creative Leadership, La Jolla ,CA
4. 2009	Dynamic Consulting, San Diego, CA
5. 2009	Innolect, Inc., Tega Cay, SC
6. 2009	The Broad Residency, Los Angeles, CA

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. George Mason School of Law	April 17 - 23, 2009	Tucson, AZ	CLE Program	Room, Meals, and Transportation
2. Searle Institute -Northwestern School of Law	November 8 - 13, 2009	Chicago, IL	CLE Program	Room, Meals, and Transportation
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Houston, John A.

Date of Report

05/14/2010

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.			
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.	CitiBank	--- Mortgage - Rental Property - San Diego	N
2.	Wells Fargo Bank	Mortgage - Investment Real Property	K
3.	Citi Bank American Express	Credit Card	J
4.	Citi Bank Mastercard	Credit Card	J
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Houston, John A.

Date of Report

05/14/2010

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. Rental Property (2), San Diego County, CA	D	Rent	O	W					
2. San Diego Gas & Electric (Sempra)	A	Dividend	J	T					
3. San Diego Gas & Electric (Sempra)	A	Dividend	J	T					
4. Oppenheimer Capital Appreciation Mutual Fund- IRA -IRA					Sold	4/23/09	L	D	
5. Oppenheimer Capital Appreciation Mutual Fund - IRA					Sold	12/15/09	L	D	
6. Fidelity Funds - IRA	A	Dividend	J	T					
7. --Fidelity Discovery Fund									
8. ---Fidelity New Markets Fund									
9. Trust	A	Interest	J	T					
10. - Leap Wireless Communications (Common Stock)									
11. - Nuveen Limited Term Municipal Bond Fund					Redeemed	02/22/09	J	B	
12. Trust #2	D	Distribution	M	T					
13. --MSDW Dividend Growth Securities Fund									
14. --MSDW California Tax-Free Income Fund									
15. --AIM Advisor Real Estate Fund									
16. --Eaton Vance WW Health Sciences Fund									
17. --Eaton Vance Taz Managed Growth Fund									

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 8

Name of Person Reporting

Houston, John A.

Date of Report

05/14/2010

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) Identify of buyer/seller (if private transaction)
18. --Franklin Calif Trax Free Income Fund									
19. --MFS MidCap Growth Fund									
20. --Putnam Research Fund									
21. --Putnam International Voyager Fund									
22. --Sentinel Small Cap Companies Fund									
23. --Reserve Primary Fund Class R									
24. --Lord Abbet Mid Cap Val Class C									
25. MFS Val Class B	A	Dividend	J	T					
26. MFS Value Class C	A	Dividend	J	T					
27. American AMCAP Class C	A	Distribution	J	T					
28. John Hancock US Glob Leaders Growth Class C	A	Dividend	J	T					
29. Putnam Tax Smart Equity Class B	A	Dividend	J	T					
30. Delaware Tax-Free California Class B	A	Interest	J	T					
31. Phoenix Mutual Funds- Simple-IRA					Sold	12/15/09	K	C	
32. Phoenix Strategic Theme Class B --Simple IRA					Sold	12/15/09	L	D	
33. Real Property (3), Birmingham, AL	C	Rent	L	W					
34. Real Property (3)-Vacant Lot, San Diego, CA -X			O	W					

1. Income Code:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	Q = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Houston, John A.

Date of Report

05/14/2010

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 a set 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. Van Kampen Insured Muni Income Trust 589	A	Interest	L	T	Buy	12/10/09	L		
36. Pacific Innovative Select -Qualified Annuity	A	Distribution	L	T	Buy	04/23/09	L		
37. Union Bank Marked Linked Cert of Deposit - IRA	A	Interest	K	T	Buy	12/15/09	K		
38. Union Bank Marked Linked Cert of Deposit - Simple IRA	A	Interest	L	T	Buy	12/15/09	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)					

FINANCIAL DISCLOSURE REPORT
Page 7 of 8

Name of Person Reporting
Houston, John A.

Date of Report
05/14/2010

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

Part VII.

Item 34 was previously owned but not reportable.

Item 4 sold and replaced with item 36,

Item 5 sold and replaced with item 37.

Items 31 and 32 sold and replaced with item 38.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Houston, John A.

Date of Report

05/14/2010

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 THIS REPORT IS SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

CIVIL

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