

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 125 S. Grand Avenue, Suite 602 Pasadena, CA 91105		
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.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

05/05/2016

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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting
Fernandez, Ferdinand F.

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.	West Publishing Co.	Books	\$1,506.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

05/05/2016

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. Accts. at Wells Fargo Bank	A	Interest	L	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	A	Interest	L	T					
5. Accts. at Community Bank	A	Interest	L	T					
6. Accts. at California Bank and Trust	A	Interest	L	T					
7. Accts. at Pacific Western Bank	A	Interest	L	T					
8. Accts. at U.S. Bank	A	Interest	M	T					
9. Accts. at Community Commerce Bank	A	Interest	M	T					
10. Accts at Bank of the West	A	Interest	L	T					
11. Accts. at Citizens Business Bank	A	Interest	L	T					
12. Accts. at Security Bank of California	A	Interest	L	T					
13. Acct. at Discover Bank	A	Interest	L	T	Open	05/11/15	L		
14. Acct. at Compass Bank	A	Interest			Closed	03/26/15	L	A	
15. Acct. at Cole Taylor Bank	A	Interest			Closed	04/21/15	L	A	
16. Acct. at Goldmans Sachs Bank	A	Interest	M	T					
17. Am. Fund Cap Income Builder; CI A	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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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				
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18. Am. Fund New Economy Cl A	A	Dividend	J	T					
19. Income Fund of America Cl A	A	Dividend	K	T					
20. Am. Cap. Fund Cl A	A	Dividend	K	T					
21. Am. Fund Balanced Fund Cl A	B	Dividend	M	T					
22. Am Fund Growth Fund Cl A	A	Dividend	L	T					
23. Am Fund, Inv. Co. of America Cl A	A	Dividend	J	T					
24. Wash. Mut. Inv. Fund Cl A	B	Dividend	L	T					
25. Invesco Van Kampen Am. Franchise Fund Cl A	A	Dividend	L	T					
26. Invesco Van Kampen Real Estate Fund Cl A	A	Dividend	K	T					
27. Invesco Van Kampen Comstock Fund Cl A (formerly Van Kampen Comstock)	A	Dividend	K	T					
28. Select Notes Trust Sec. LT #5	A	Interest	J	T					
29. GNMA Pool Cert.	A	Interest	J	T					
30. U.S. T. Bills	A	Interest	L	T					
31. U.S. T. Bills	A	Interest	K	T					
32. U.S. T. Bills	A	Interest	K	T					
33. U.S. T. Bills	A	Interest	N	T					
34. U.S. T. Bills	A	Interest	L	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

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35. U.S. T. Bills	A	Interest	L	T					
36. Trust #1; Income Beneficiary (Items 37-119)									
37. (a) Wells Fargo, Trustee									
38. (i) Wells Fargo Funds for Trusts and Cash	A	Int./Div.	K	T					
39. (ii-a) Vanguard REIT Viper	A	Dividend	J	T	Sold (part)	03/12/15	J	A	
40. (ii-b) Same as (ii-a)					Buy (add'l)	07/24/15	J		
41. (ii-c) Same as (ii-a)					Sold (part)	11/16/15	J	A	
42. (iii-a) Pimco Foreign Bond Fund USD Hedged	A	Dividend			Sold (part)	06/11/15	J	A	
43. (iii-b) Same as (iii-a)					Sold	07/22/15	J	A	
44. (iv-a) Vanguard Emerging Market ETF	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
45. (iv-b) Same as (iv-a)					Sold (part)	11/16/15	J	A	
46. (iv-c) Same as (iv-a)					Sold (part)	12/14/15	J	A	
47. (v-a) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T	Sold (part)	03/02/15	J	A	
48. (v-b) Same as (v-a)					Buy (add'l)	07/24/15	J		
49. (vi-a) Dreyfus Emerging Mkts Debt Fund	A	Dividend			Buy (add'l)	02/26/15	J		
50. (vi-b) Same as (vi-a)					Sold (part)	07/22/15	J	A	
51. (vi-c) Same as (vi-a)					Sold	12/07/15	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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52. (vii-a) AMEX Consumer SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
53. (vii-b) Same as (vii-a)					Buy (add'l)	09/03/15	J		
54. (vii-c) Same as (vii-a)					Sold (part)	11/16/15	J	A	
55. (viii-a) Consumer Staples Sec SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
56. (viii-b) Same as (viii-a)					Sold (part)	07/24/15	J	A	
57. (viii-c) Same as (viii-a)					Buy (add'l)	09/03/15	J		
58. (ix-a) AMEX Energy Select SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
59. (ix-b) Same as (ix-a)					Sold (part)	07/24/15	J		
60. (ix-c) Same as (ix-a)					Buy (add'l)	11/16/15	J		
61. (x-a) AMEX Financial Select SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
62. (x-b) Same as (x-a)					Sold (part)	07/24/15	J	A	
63. (x-c) Same as (x-a)					Buy (add'l)	09/03/15	J		
64. (x-d) Same as (x-a)					Sold (part)	11/16/15	J	A	
65. (xi-a) AMEX Health Care SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
66. (xi-b) Same as (xi-a)					Buy (add'l)	09/03/15	J		
67. (xii-a) AMEX Industrial SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
68. (xii-b) Same as (xii-a)					Buy (add'l)	09/03/15	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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69. (xii-c) Same as (xii-a)					Sold (part)	11/16/15	J	A	
70. (xiii-a) AMEX Technology SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
71. (xiii-b) Same as (xiii-a)					Sold (part)	07/24/15	J	A	
72. (xiii-c) Same as (xiii-a)					Buy (add'l)	09/03/15	J		
73. (xiii-d) Same as (xiii-a)					Sold (part)	11/16/15	J	A	
74. (xiv) AMEX Materials SPDR	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
75. (xv-a) I Shares S&P Midcap 400 Growth	A	Dividend	J	T	Sold (part)	03/02/15	J	A	
76. (xv-b) Same as (xv-a)					Buy (add'l)	07/24/15	J		
77. (xvi-a) I Shares S&P Midcap 400 Value	A	Dividend	J	T	Sold (part)	03/02/15	J	A	
78. (xvi-b) Same as (xvi-a)					Buy (add'l)	07/24/15	J		
79. (xvii-a) I Shares S&P Cap (formerly I Shares TR Small Cap 600 Index)	A	Dividend	J	T	Sold (part)	03/02/15	J	A	
80. (xvii-b) Same as (xvii-a)					Buy (add'l)	07/24/15	J		
81. (xviii) Diamond Hill Long-Short Fund C1.1	A	Dividend			Sold	02/26/15	J	B	
82. (xix-a) Merger FD Class Inst. (formerly Merger FD SH BEN INT)	A	Dividend	J	T	Sold (part)	02/26/15	J	A	
83. (xix-b) Same as (xix-a)					Sold (part)	10/28/15	J	A	
84. (xx-a) Credit Suisse Commodity Return Strat. Fund	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
85. (xx-b) Same as (xx-a)					Sold (part)	07/22/15	J	A	

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Page 9 of 12

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86. (xx-c) Same as (xx-c)					Buy (add'l)	11/16/15	J		
87. (xxi-a) Driehaus Active Income Fund	A	Dividend			Sold (part)	02/26/15	J	A	
88. (xxi-b) Same as (xxi-a)					Sold	10/28/15	J	A	
89. (xxii-a) Fidelity Advisors Emerging Markets Income Fund Class I	A	Dividend	J	T	Buy (add'l)	02/26/15	J		
90. (xxii-b) Same as (xxii-a)					Buy (add'l)	07/24/15	J		
91. (xxii-c) Same as (xxii-a)					Buy (add'l)	11/23/15	J		
92. (xxii-d) Same as (xxii-a)					Buy (add'l)	12/07/15	J		
93. (xxiii-a) Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Sold (part)	07/24/15	J	A	
94. (xxiii-b) Same as (xxiii-a)					Buy (add'l)	02/26/15	J		
95. (xxiii-c) Same as (xxiii-a)					Buy (add'l)	11/16/15	J		
96. (xxiv-a) ASG Global Alternative fund Class Y	A	Dividend	J	T	Sold (part)	02/26/15	J	A	
97. (xxiv-b) Same as (xxiv-a)					Sold (part)	10/28/15	J	A	
98. (xxv-a) Eaton Global Marco Absolute Return Fund Class - I	A	Dividend	J	T	Sold (part)	02/26/15	J	A	
99. (xxv-b) Same as (xxv-a)					Buy (add'l)	10/28/15	J		
100. (xxvi) Nuveen High Yield Muni Bond Fund Class R	A	Dividend			Sold	02/26/15	J	A	
101. (xxvii-a) T Rowe Price Inst Float Rate Fund	A	Dividend	J	T	Sold (part)	07/22/15	J	A	
102. (xxvii-b) Same as (xxvii-a)					Sold (part)	07/22/15	J	A	

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Page 10 of 12

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103. (xxviii-a) T Rowe Price Short Term Bond Fund	A	Dividend	J	T	Sold (part)	02/26/15	J	A	
104. (xxiii-b) Same as (xxiii-a)					Buy (add'l)	06/11/15	J		
105. (xxviii-c) Same as (xxviii-a)					Sold (part)	07/22/15	J	A	
106. (xxix) Vanguard Total Bond MKT ETF	A	Dividend			Sold	03/02/15	J	A	
107. (xxx) Neuberger Berman Long Short Fund	A	Dividend	J	T	Sold (part)	02/26/15	J	A	
108. (xxxi) Principal Global Multi-Strategy Fund	A	Dividend			Sold	10/28/15	J	A	
109. (xxxii-a) Met West Total Return Bond Fund CL	A	Dividend	K	T	Buy	02/26/15	J		
110. (xxxii-b) Same as (xxxii-a)					Buy (add'l)	07/24/15	J		
111. (xxxii-c) Same as (xxxii-a)					Sold (part)	11/12/15	J	A	
112. (xxxiii-a) AQR Managed Futures STR-1	A	Dividend	J	T	Buy	02/26/15	J		
113. (xxxiii-b) Same as (xxxiii-a)					Sold (part)	10/28/15	J	A	
114. (xxxiv) Blackrock Global L/S Credit - Ins	A	Dividend	J	T	Buy	10/28/15	J		
115. (xxxv) T Rowe Price Real Estate Fd.	A	Dividend	J	T	Buy	12/28/15	J		
116. (xxxvi-a) AMEX Utilities	A	Dividend			Buy	07/24/15	J		
117. (xxxvi-b) Same as (xxxvi-a)					Sold	11/16/15	J	A	
118. (xxxvii) I Shares MSCI Emerging Mkts	A	Dividend	J	T	Buy	12/14/15	J		
119. (b) Real Property in Clifton, AZ (trustee unknown)		None	J	W					

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 11 of 12

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

05/05/2016

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

In Part VI of report for 2014, in Item 68 I Path Dow Jones is indicated as having value at end of year, but also indicates it was sold on 01/27/2014. The former was in error; it was no longer an asset after it was sold.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

05/05/2016

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/ Ferdinand F. Fernandez**

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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