

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) TROT, Stephen S.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/16/2020
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 ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address U.S. Courthouse 550 W. Fort Street, Room 667 Boise, Idaho 83724		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member	Boise Philharmonic Foundation
2. Advisory Committee Member	Childrens Home Society of Idaho
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. 2019	Vested interest in a retirement plan maintained by Los Angeles Cnty, CA. I was employed as an attorney between 1965/1981. I draw a retirement income monthly.
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. 2019	Los Angeles County California Retirement	\$15,000.00
2. 2019	"Highwaymen" LLC, Record Sales & Performance Fees	\$5,000.00
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.	
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Acct. 55 (H)									
2. Chevron Corp CVX	D	Dividend	M	T					
3. Exxon Mobil Corp XOM	B	Dividend	L	T					
4. Realty Income Corp Reit O	C	Dividend	L	T					
5. Acct. 57 (H)									
6. (American Funds) Growth Fund of America Class F GFFFX	A	Dividend	K	T					
7. (Clearbridge) Value Trust TR Inc NAV (LMNVX)	A	Dividend	K	T					
8. Vanguard 500 Index 500 Index FD Admiral Shares (VFIAX)	B	Dividend	K	T					
9. Vanguard Index Vanguard 500 Index 500 Index FD Admiral Shares (VFIAX)	B	Dividend	K	T	Sold (part)	05/29/19	J	A	
10. Vanguard Sm Cap Index Admiral Shares (VSMAX)	A	Dividend	J	T					
11. Vanguard BD Index FDS Short Term BD Index FD Admiral SHS (VBIRX)	A	Dividend	K	T					
12. Vanguard BD Index FDS Short Term BD Index FD Admiral SHS (VBIRX) (X)	A	Dividend	J	T	Buy (add'l)	12/26/19	J		
13. Vanguard Fixed Income Sec. FD Short (VFSUX)	A	Dividend	K	T					
14. Vanguard Index TR Mid-Cap Index Fund Admiral Shares (VIMAX)	A	Dividend	K	T					
15. Cash & Money Market - Evergreen US Govt Portfolio	A	Interest	K	T					
16. DFA US Targeted Value Port DFFVX	A	Dividend	K	T					
17. DFA World Ex US Core DFWIX	A	Dividend	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	

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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 mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. DFA World Ex US Core DFWIX	A	Dividend	J	T	Buy (add'l)	05/29/19	J		
19. DFA US Large Cap Value DFLVX	A	Dividend	K	T					
20. Vanguard Ltd Term Tax VMLUX	A	Dividend	K	T					
21. SCH US Aggregate Bond Index FD SWAGX	A	Dividend	J	T					
22. SCH US Aggregate Bond Index FD SWAGX	A	Dividend	J	T	Sold (part)	03/11/19	J	A	
23. SCH US Aggregate Bond Index FD SWAGX	A	Dividend	J	T	Buy (add'l)	04/25/19	J		
24. SCH US Aggregate Bond Index FD SWAGX	A	Dividend	J	T	Sold (part)	05/29/19	J	A	
25. SCH US Aggregate Bond Index FD SWAGX	A	Dividend	J	T	Buy (add'l)	06/26/19	J		
26. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J	T	Buy (add'l)	07/26/19	J		
27. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J		Buy (add'l)	10/28/19	J		
28. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J		Buy (add'l)	11/26/19	J		
29. SCH US Aggregate Bond Index FD SWAGX (X)	A	Dividend	J		Sold (part)	12/26/19	J	A	
30. SCH Fundamental Intl Large Co Index SFNNX	A	Dividend	J	T					
31. SCH Fundamental Intl Large Co Index SFNNX	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
32. SCH Fundamental Intl Large Co Index SFNNX (X)	A	Dividend	J	T	Sold (part)	03/11/19	J	A	
33. SCH Fundamental Intl Large Co Index SFNNX (X)	A	Dividend	J		Buy (add'l)	08/23/19	J		
34. SCH Fundamental Intl Large Co Index SFNNX (X)	A	Dividend	J		Buy (add'l)	09/26/19	J		

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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35. SCH US Large Cap Value Index Fund SWLVX	A	Dividend	J	T	Buy	01/28/19	J		
36. SCH US Large Cap Value Index Fund SWLVX	A	Dividend			Buy (add'l)	03/25/19	J		
37. SCH Small Cap Index Fd Cash SWSSX	A	Dividend	J	T					
38. SCH Fundamental US Small Cap Index Fund SWSSX	A	Dividend	J	T	Sold (part)	05/29/19	J	A	
39. SCH Fundamental US Small SFSNX	A	Dividend	J	T					
40. SCH Fundamental US Small SFSNX (X)	A	Dividend	J	T	Buy (add'l)	01/25/19	J		
41. SCH Fundamental US Small SFSNX (X)	A	Dividend	J	T	Buy (add'l)	05/28/19	J		
42. SCH Fundamental US Small SFSNX (X)	A	Dividend	J	T	Buy (add'l)	08/27/19	J		
43. SCH Fundamental US Small SFSNX (X)	A	Dividend	J	T	Buy (add'l)	09/25/19	J		
44. SCH US Mid Cap Index Fund Cash SWMCX	A	Dividend	J	T					
45. SCH US Mid Cap Index Fund Cash SWMCX	A	Dividend	J	T	Buy (add'l)	01/28/19	J		
46. SCH S&P 500 Index Fund Cash SWPPX	A	Dividend	J	T					
47. SCH S&P 500 Index Fund Cash SWPPX	A	Dividend	J	T	Sold (part)	05/29/19	J	A	
48. Acct. 97 (H)									
49. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T					
50. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T	Buy (add'l)	12/26/19	K		
51. DFA World Ex Core DFWIX	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
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52. DFA World Ex Core DFWIX	A	Dividend	K	T	Sold (part)	03/11/19	J	A	
53. DFA US Targeted Values DFFVX	A	Dividend	K	T					
54. DFA US Large Cap Value DFLVX	A	Dividend	K	T					
55. Vanguard Total Bond Mkt Index VBTLX	A	Dividend	J	T					
56. Vanguard Total Stk Mkt VTSAX	A	Dividend	J	T					
57. Vanguard BD Index Fd VBIRX	A	Dividend	J	T					
58. Schwab US Aggregate Inflation SWAGX	A	Dividend	J	T	Sold (part)	03/11/19	J	B	
59. Schwab Short Term Bond Index Fd SWSBX	A	Dividend	J	T					
60. Schwab Short Term Bond Index Fd SWSBX	A	Dividend	J	T	Buy (add'l)	02/26/19	J		
61. Schwab Short Term Bond Index Fd SWSBX	A	Dividend	J	T	Sold (part)	03/11/19	J	A	
62. Schwab Short Term Bond Index Fd SWSBX	A	Dividend	J	T	Buy (add'l)	04/25/19	J		
63. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
64. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Buy (add'l)	07/25/19	J		
65. Schwab Short Term Bond Index Fd SWSBX (X)	A	Dividend	J	T	Sold (part)	12/26/19	J	B	
66. SCH Treasury Inflation Protected Secs SWRSX	A	Dividend			Sold	03/11/19	J	A	
67. SCH Fundamental Intl. Large Co Index SFNNX	A	Dividend	J	T	Buy (add'l)	09/20/19	J		
68. IRA - US Bank Cash Equivalent	B	Interest	J	T					

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

Section VII:

This, except for line #68 (IRA U.S. Bank), [REDACTED] held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

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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: **s/ Stephen S. TROTT**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544