

AO-10 (w)
Rev. 8/88

FINANCIAL DISCLOSURE REPORT

Nomination Report

Report Required by the Ethics
Reform Act of 1988, Pub L. No.
101-194, November 30, 1988
(5 U.S.C. App. 4, Sec. 101-112)

1. Reporting (Last name, first, middle initial) WASU, JAMES .		2. Court or Organization U.S. COURT OF APPEALS, 9TH CIR	3. Date of Report 07/01/1997
4. Title (Article III Judges indicate active or senior status; magistrate Judges indicate full- or part-time) U.S. CIRCUIT JUDGE		5. Report Type (check type) ☒ Nomination, Date 06/27/1997 ____ Initial ____ Annual ____ Final	6. Reporting Period 01/01/1996 to 06/27/1997
7. Chambers or Office Address U.S. COURTHOUSE 280 SOUTH FIRST STREET San Jose, California 95113		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 section where you have no reportable information. Sign on the last page.			

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

POSITION	NAME OF ORGANIZATION / ENTITY
☐ NONE (No reportable positions.)	
1 Member of Governing Board	California Lutheran University
2 _____	_____
3 _____	_____

II. AGREEMENTS (Reporting individual only; see pp. 14-17 of instructions)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1 _____	_____
2 _____	_____
3 _____	_____

III. NON-INVESTMENT INCOME (Reporting individual and spouse; see pp. 18-25 of instructions.)

DATE	PARTIES AND TERMS	GROSS INCOME (yours, not spouse's)
☐ NONE (No reportable non-investment income.)		
1 1996	LINCOLN LAW SCHOOL-COMPENSATION AS INSTRUCTOR	\$ 3,140.00
2 8/15/96	University of Santa Clara Law School-Instructor	\$ 5,777.76
3 _____	_____	_____
4 _____	_____	_____
5 _____	_____	_____

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

WARE, JAMES .

Date of Report

07/01/1997

IV. REIMBURSEMENTS and GIFTS — transportation, lodging, food, entertainment.

(those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements and gifts received by spouse and dependent children, respectively. See pp. 26-29 of instructions.)

	SOURCE	DESCRIPTION
☐	NONE (No such reportable reimbursements or gifts)	
1	Exempt	
2		
3		
4		
5		
6		
7		

V. OTHER GIFTS

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate other gifts received by spouse and dependent children, respectively. See pp. 30-33 of instructions.)

	SOURCE	DESCRIPTION	VALUE
☐	NONE (No such reportable gifts)		
	Exempt		
2			
3			
4			

VI. LIABILITIES

(Includes those of spouse and dependent children; indicate where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 34-36 of instructions.)

	CREDITOR	DESCRIPTION	VALUE CODE*
☒	NONE (No reportable liabilities)		
1			
2			
3			
4			
5			
6			
7			

* VAL CODES: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001 to \$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 WARE, JAMES .	Date of Report 07/01/1997
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IX. CERTIFICATION

compliance with the provisions of 28 U.S.C. 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

I certify that all the 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. 4, section 501 et. seq., 5 U.S.C. 7353 and Judicial Conference regulations.

Signature James Ware Date July 1, 1997

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. 4, Section 104).

FILING INSTRUCTIONS

Mail original and three additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Suite 2-301
Washington, D.C. 20544

FINANCIAL DISCLOSURE REPORT	Name of Person Reporting	Date of Report
	WARE, JAMES .	07/01/1997

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

☐ NONE (No additional information or explanations.)

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	\$4,300	Notes payable to banks--secured	0
U.S. Government securities--Schedule 1	150	Notes payable to banks--unsecured	0
Listed Securities--Schedule 2	70	Notes payable to relatives	0
Unlisted securities--Schedule 3	31,000	Notes payable to others	0
Accounts and notes receivables:		Accounts and bills due	0
Due from relatives and friends	85,000	Unpaid income tax	0
Due from others	0	Other unpaid tax and interest	0
Doubtful	0	Real estate mortgages payable--Schedule 5	325,000
Real estate--Schedule 4	715,000	Chattel mortgages and other liens payable	65,000
Autos and other personal property	55,000	Other debts--itemize:	
Cash value--life insurance	10,000	Consumer Credit	20,000
Other assets--itemize:		Education Loans	40,000
Boat	30,000		
Household Furnishings & Personal Effects	200,000	Total Liabilities	450,000
		Net Worth	595,520
Total Assets	1,045,520	Total liabilities and net worth	1,045,520
CONTINGENT LIABILITIES		GENERAL INFORMATION	
As endorser, comaker or guarantor	None	Are any assets pledged?	No
On leases or contracts	None	Are you defendant in any suits or legal actions?	Yes (See Biographical Questionnaire)
Legal Claims	None	Have you ever taken bankruptcy?	No
Provision for Federal Income Tax	Payroll Withholding		
Other special debt	None		