

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Collins, Daniel P.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 06/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Richard H. Chambers Courthouse 125 South Grand Avenue, Suite 200 Pasadena, California 91105-1620		
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. Partner (through 5/21/19)	Munger, Tolles & Olson LLP
2. Director (through no later than 5/21/19)	The Munger, Tolles & Olson Foundation
3. Director (through approx. 3/2019)	Friends of the Los Angeles County Law Library
4. Member, Advisory Council (through 11/2019)	Ninth Judicial Circuit Historical Society
5. Member	American Law Institute

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	Munger Tolles & Olson LLP, retirement and pension plans through former law firm (until July 2019 partial cashout and partial rollover to IRA)
2. 2019	Munger Tolles & Olson LLP, post-departure payment of final partnership distribution for pre-departure services and return of capital account
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. To 5/21/19	Munger, Tolles & Olson LLP, partnership income	\$484,083.00
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.	
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. Federalist Society	October 3, 2019	Stanford Law School, Stanford, CA	Panel Discussion	Transportation, meal, hotel
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.	Munger Tolles & Olson LLP	Reception following Investiture Ceremony	\$23,170.58
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.	St. Monica Academy	Tuition Agreement	K
2.	Fanfaire, Inc.	Deposit due under Stadium Seat License Agreement	K
3.	University of Dallas	Tuition Agreement	K
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. MTO 401(k) Profit Sharing Plan (Wells Fargo) (H)									
2. -- American Funds Investment Co of America R6	D	Dividend			Buy (add'l)	03/13/19	J		
3.					Sold	07/02/19	N	A	
4. -- American Funds EuroPacific Growth R6	A	Dividend			Buy (add'l)	03/13/19	J		
5.					Sold	07/02/19	N	A	
6. -- Metropolitan West Total Return Bond Fund	C	Dividend			Buy (add'l)	03/13/19	J		
7.					Sold	07/02/19	M	A	
8. MTO Profit Sharing Plan (Wells Fargo) (H)									
9. -- American Funds Investment Co of America R6	C	Dividend			Buy (add'l)	03/13/19	J		
10.					Sold	07/05/19	N		
11. -- American Funds EuroPacific Growth R6	A	Dividend			Buy (add'l)	03/13/19	J		
12.					Sold	07/05/19	M		
13. -- Metropolitan West Total Return Bond Fund	C	Dividend			Buy (add'l)	03/13/19	J		
14.					Sold	07/05/19	M		
15. MTO Cash Balance Pension Plan		None			Distributed	08/21/19	N	A	
16. ScholarShare 529 #1 (H)									
17. -- Passive Age Based Portfolio		None	N	T	Distributed (part)	08/29/19	K		

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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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				
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18. ScholarShare 529 #2 (H)									
19. -- Passive Age Based Portfolio		None	N	T					
20. ScholarShare 529 #3 (H)									
21. -- Passive Age Based Portfolio		None	N	T					
22. Schwab One Account (H)									
23. -- Schwab Bank Sweep Account	A	Interest	K	T					
24. -- Janus Henderson High Yield Fund	A	Dividend	J	T					
25. Bank of America Cash Accounts	A	Interest	O	T					
26. Wells Fargo Cash Accounts	A	Interest	K	T					
27. City National Cash Account	A	Interest	N	T					
28. Chase Cash Accounts	A	Interest	K	T	Open	06/28/19	K		
29. PayFlex Health Savings Account	A	Interest	K	T					
30. Munger, Tolles & Olson LLP Capital Account	E	Interest			Distributed	05/31/19	O		
31. Fidelity IRA (H)									
32. -- Fidelity Sweep Account (Citibank)	A	Interest	L	T	Open	07/10/19	O		
33. -- Morgan Stanley Insight A	E	Dividend	N	T	Buy	07/12/19	N		
34. -- Value Line Cap Appreciation Inv	D	Dividend	M	T	Buy	07/12/19	M		

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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)					

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35. -- Wells Fargo Diversif Cap Builder CL A	D	Dividend	M	T	Buy	07/12/19	M		
36. -- Fidelity Investment Grade	B	Dividend	M	T	Buy	07/12/19	M		
37. -- Eaton Vance Short Duration Gov Inc A	B	Dividend	M	T	Buy	07/12/19	M		
38. -- Janus Henderson Multisector Income T	C	Dividend	M	T	Buy	07/12/19	M		
39. -- Pimco Income Fund CL A	C	Dividend	M	T	Buy	07/12/19	M		
40. -- Pimco Preferred & Capital Secs CL A	D	Dividend	M	T	Buy	07/12/19	M		
41. -- Fidelity Money Market Premium Class	B	Dividend	M	T	Buy	07/12/19	M		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

In Part VII, the proceeds from the listed sales for the MTO 401(k) Profit Sharing Plan and the MTO Profit Sharing Plan were directly rolled over into my newly created Fidelity IRA, except that the Roth 401(k) portion of the MTO 401(k) Profit Sharing Plan was cashed out. Accordingly, no gain is listed for the amounts rolled over. The gain on the Roth 401(k) distribution from the MTO 401(k) Profit Sharing Plan is allocated among the three funds based on their proportionate size at the time of that cashout.

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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/ **Daniel P. Collins**

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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Washington, D.C. 20544