

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) TROTT, Stephen S.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 07/18/2014
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 01/01/2013 to 12/31/2013
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. Board Member	Esther Simplot Performing Arts Center
3. Advisory Committee Member	Childrens Home Society of Idaho
4. Advisory Committee Member	Boise Philharmonic Association
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. 2013	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. 2013	Los Angeles County California Retirement	\$12,000.00
2. 2013	"Highwaymen" LLC, Record Sales & Performance Fees	\$3,000.00
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. Harvard Law School	September 29, 2013 to October 06, 2013	Cambridge, MA	Lecture on Informants	Hotel and Transportation
2. Berkeley Law School	October 20, 2013 to October 22, 2013	Berkeley, CA	Lecture on Charles Hamilton Houston	Transportation
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.)*

<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.		
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) 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. Chevron Corp CVX	D	Dividend	M	T					
2. Exxon Mobil Corp XOM	B	Dividend	L	T					
3. Realty Income Corp Reit O	C	Dividend	L	T					
4. Brandes Invt TR BEMIX Instl Emerging Mkts Fund Class I	A	Dividend	K	T	Buy	08/06/13	J		
5. Harbor Fund Commodity Real Return Strategy FD Instl CL HAGMX	A	Dividend	K	T	Buy	12/16/13	K		
6. Dodge Cox Int'l Stk Fd DODFX	A	Dividend	J	T					
7. Growth Fund of America Class F GFAFX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
8. Nationwide Mut FDS New Geneva M/C Growth FD Instl Service CL	A	Dividend	J	T	Sold (part)	08/06/13	J	B	
9. Janus Inst Overseas FD JIGFX	A	Dividend	J	T					
10. Janus Adv Mid Cap Value C11 JMVAX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
11. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
12. Mutual Ser FD Inc Global Dis Fd CL Z MDISX	B	Dividend	J	T	Sold (part)	08/06/13	J	A	
13. J.P. Morgan US Govt Money MKT Fund Instl Class IJGXX	A	Dividend	J	T	Sold (part)	08/06/13	J	B	
14. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T					
15. Pimco Commodity - Real Return Strategic Fund - PCRIX	A	Dividend	J	T	Buy	12/16/13	J		
16. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T					
17. PIMCO Funds Pac Int Total Return PTTRX	A	Dividend	J	T	Buy	08/06/13	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) U = Book Value	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 I (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. T. Rowe Price Intl FDS (PRIDX) Inc. Int'l Discovery Fund	A	Dividend	J	T					
19. T. Rowe Price Intl FDS (PRIDX) Inc. Int'l Discovery Fund	A	Dividend	J	T	Buy (add'l)	08/06/13	J		
20. Vanguard Index Vanguard 500 Index 500 Index FD Admiral Shares (VFIAX)	B	Dividend	J	T	Sold (part)	08/06/13	J	A	
21. Vanguard Sm Cap Index Admiral Shares (VSMAX)	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
22. Vanguard BD Index FDS Short Term BD Index FD Admiral SHS (VBIRX)	A	Dividend	J	T					
23. Vanguard BD Index FDS Short Term BD Index FD Admiral SHS (VBIRX)	A	Dividend	J	T	Buy (add'l)	08/06/13	J		
24. Vanguard Fixed Income Sec. FD Short VFSUX	A	Dividend	J	T					
25. Vanguard Fixed Income Sec. FD Short VFSUX	A	Dividend	J	T	Buy	08/06/13	J		
26. Vanguard Index TR Mid-Cap Index Fund Admiral Shares (VIMAX)	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
27. Vanguard BD Index FDS Total Bond Mkt Index FD Admiral Shares (VBTLX)	B	Dividend	J	T					
28. Vanguard Star Fund Total Intl Stock Index FD Admiral Shares (VTIAX)	A	Dividend	J	T					
29. Vanguard Star Fund Total Intl Stock Index FD Admiral Shares (VTIAX)	A	Dividend	J	T	Buy	08/06/13	J		
30. Cash & Money Market - Evergreen US Govt Portfolio	A	Interest	K	T					
31. Brandes Invt TR BEMIX Intl Emerging Mkts Fund Class	A	Dividend	J	T	Buy	08/06/13	J		
32. Dodge Cox Intl STK Fund DODFX	A	Dividend	J	T					
33. Growth Fund American Fund - Class F GFAFX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
34. Growth Fund American Fund - Class F GFAFX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	

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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	
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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				
	(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. Janus Advisers Ser Adv Mid Cap Cl 1 JMVAX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
36. Janus Invt FD Overseas - FD CL 1 JIGFX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
37. J.P. Morgan US Gov't Money Mkt Fd Int'l Class IJGXX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
38. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
39. Legg Mason Value Trust TR Inc NAV LMNVX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
40. Mutual Ser FD Inc GLBL Discovery Fd CL Z MDISX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
41. PIMCO Commodity Real Return PCRIX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
42. PIMCO FDS Pac Invt Mgt Ser Total Return PTTRX	A	Dividend	J	T					
43. PIMCO FDS Pac Invt Mgt Ser Total Return PTTRX	A	Dividend	J	T	Buy	08/06/13	J		
44. Vanguard Index Trust 500 Portfolio Inv Fund VFIAX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
45. Vanguard Index Trust 500 Portfolio Inv Fund VFIAX	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
46. Vanguard Sm Cap Index Admiral Shares VSMAX	A	Dividend	J	T	Sold (part)	07/29/13	J	A	
47. Vanguard Index TR Mid-Cap Index Fund Admiral Shares (VIMAX)	A	Dividend	J	T	Sold (part)	08/06/13	J	A	
48. Vanguard Star Fund Total Intl Stk Index FD Admiral Shares VTIAAX	A	Dividend	J	T					
49. Vanguard Star Fund Total Intl Stk Index FD Admiral Shares VTIAAX	A	Dividend	J	T	Buy	08/06/13	J		
50. Vanguard Municipal Bond Fund Lmted Term Tax Exempt VMLUX	A	Dividend	J	T					
51. Vanguard Municipal Bond Fund Lmted Term Tax Exempt VMLUX	A	Dividend	J	T	Buy	08/06/13	J		

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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				
	(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)
52. Vanguard Municipal Bond Fund Short Term VWSUX	B	Dividend	J	T					
53. Vanguard Municipal Bond Fund Short Term VWSUX	A	Dividend	J	T	Buy	08/06/13	J		
54. National Mut FDS New Geneva M/C Growth FD Instl. Service CL NWHYX	A	Dividend	J	T					
55. T. Rowe Price Int'l FDS Inc. Int'l Discovery Fund PRIDX	A	Dividend	J	T					
56. T. Rowe Price Int'l FDS Inc. Int'l Discovery Fund PRIDX	A	Dividend	J	T	Buy	08/06/13	J		
57. IRA - US Bank Cash Equivalent	B	Interest	J	T					

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

Section VII:

This, except for line #57 (IRA U.S. Bank), belongs to my Spouse and is her separate asset held in three different accounts, which may make some of the reporting seem duplicative or redundant, which it is not.

In response to your letter of inquiry of July 10, 2014, I submit the following. Most of the problems are caused by Vanguard's recent decisions to change their symbols on the funds in question. Thus, it appears on the 2013 Report that something is new when in fact it is not -- just the symbol has changed. I hope this is helpful.

Part VII, page 5, lines 21 and 27, and page 6, line 46, listed various assets which were not in prior report.

Line 21 Was on 04/01/13 (Calendar Year 2012) report line 26 -- as Vanguard Sm Cap Sig Shrs VSISX

Line 27 Was on 04/01/13 (Calendar Year 2012) report line 32 -- as Vanguard Bond Index VBTSX

Line 46 Was on 04/01/13 (Calendar Year 2012) report line 53 -- as Vanguard Index TR Small Cap Stock Portfolio VSISX

Part VII, page 4, lines 5 and 6, lines 26 and 32, and page 7, line 53, in prior report listed various assets, but did not list these assets in current report.

Line 5 Was purchased 12/16/13 so it wouldn't be on the 04/01/13 (Calendar Year 2012) report.

Line 6 Dodge Cox - Sold part 12/14/12 still hold.

Line 26 Was on 04/01/13 (Calendar Year 2012) report line 30 - as Vanguard Mid Cap Index Fd CL 1 VMISX

Line 32 Was on 04/01/13 (Calendar Year 2012) report line 38 - as Dodge Cox Intl STK Fund DODFX

Line 53 Was on 04/01/13 (Calendar Year 2012) report lines 60 & 61 - as (60) Vanguard Municipal Bond Fund Short Term VWSUX and (61) Vanguard Municipal Bond Fund Short Term VWSUX.

There are three accounts in this report as noted on page 8, section VIII, all involving my wife's separate property.

Please confirm your receipt of this information.

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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
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Washington, D.C. 20544