

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

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 04/27/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 125 S. Grand Avenue, Suite 602 Pasadena, CA 91105		
IMPORTANT NOTES: <i>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>		

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.	

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Name of Person Reporting

Fernandez, Ferdinand F.

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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.)*

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.

Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/27/2021

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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Name of Person Reporting

Fernandez, Ferdinand F.

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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.	Accts. at Wells Fargo Bank	A	Interest	M	T				
2.	Accts. at JP Morgan Chase	B	Interest	M	T				
3.	Accts. at Bank of America	B	Interest	M	T				
4.	Accts. at Union Bank	B	Interest	M	T				
5.	Accts. at California Bank and Trust	B	Interest	M	T				
6.	Accts. at Pacific Western Bank	B	Interest	M	T				
7.	Accts. at U.S. Bank	B	Interest	M	T				
8.	Accts. at Community Commerce Bank	B	Interest	M	T				
9.	Accts at Bank of the West	A	Interest	M	T				
10.	Accts. at Citizens Business Bank	B	Interest	M	T				
11.	Accts. at Pacific Premier Bank	B	Interest	M	T				
12.	Acct. at F&M Bank Clarksville Tenn.	A	Interest			Closed	01/17/20	L	A
13.	Acct. at Morgan Stanley Private Bank	B	Interest			Closed	06/13/20	L	A
14.	Acct. at BMO Harris Bank	B	Interest			Closed	08/25/20	L	A
15.	Acct. at East West Bank	B	Interest	M	T				
16.	Acct. at Pinnacle Bank, Nashville, TN	B	Interest			Open	01/17/20	M	
17.	Acct. at Goldman Sachs Bank	B	Interest			Closed	09/17/20	L	A

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. Acct. at Bank of India	A	Interest	L	T	Open				
19. Acct. at Westfield Bank, Mass.	A	Interest	M	T	Open				
20. Fidelity MMKT Cap. Reserves CL	A	Dividend	J	T					
21. Am. Fund Cap Income Builder; CI A	D	Dividend	M	T					
22. Am. Fund New Economy CI A	B	Dividend	J	T					
23. Income Fund of America CI A	C	Dividend	K	T					
24. Am. Cap. Fund CI A	D	Dividend	K	T					
25. Am. Fund Balanced Fund CI A	E	Dividend	M	T					
26. Am Fund Growth Fund CI A	E	Dividend	M	T					
27. Am Fund, Inv. Co. of America CI A	B	Dividend	K	T					
28. Am. Wash. Mut. Inv. Fund CI A	D	Dividend	M	T					
29. Invesco Van Kampen Am. Franchise Fund CI A	E	Dividend	M	T					
30. Invesco Van Kampen Real Estate Fund CI A	C	Dividend	L	T					
31. Invesco Van Kampen Comstock Fund CI A	C	Dividend	K	T					
32. Select Notes Trust Sec. LT #5	B	Interest	J	T					
33. GNMA Pool Cert.	A	Interest	J	T					
34. Trust #1; Income Beneficiary, Wells Fargo, Trustee (Items 35-130)									

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. (a) Wells Fargo Cash	A	Interest	J	T					
36. (b) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend			Sold	02/14/20	J	A	
37. (c-i) AMEX Consumer DISCT SPDR	A	Dividend			Sold	02/14/20	J	C	
38. (d-i) Consumer Staples Sec SPDR	A	Dividend	J	T	Sold (part)	05/08/20	J	A	
39. (d-ii) Same as (d-i)					Buy (add'l)	12/15/20	J		
40. (e) Financial Select Sec. SPDR	A	Dividend			Sold	02/14/20	J	C	
41. (f-i) Health Care Select Sec. SPDR	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
42. (f-ii) Same as (f-i)					Sold (part)	02/14/20	J	A	
43. (f-iii) Same as (f-i)					Buy (add'l)	10/21/20	J		
44. (f-iv) Same as (f-i)					Sold (part)	05/08/20	J	A	
45. (g-i) AMEX Industrial SPDR	A	Dividend			Sold (part)	02/14/20	J	A	
46. (g-ii) Same as (g-i)					Sold	03/27/20	J	A	
47. (h-i) AMEX Technology SPDR	A	Dividend	J	T	Sold (part)	05/08/20	J	A	
48. (h-ii) Same as (h-i)					Buy (add'l)	03/27/20	J		
49. (h-iii) Same as (h-i)					Sold (part)	10/21/20	J	B	
50. (h-iv) Same as (h-i)					Buy (add'l)	12/15/20	J		
51. (i-i) I Shares S&P Midcap 400 Growth	A	Dividend			Buy (add'l)	03/27/20	J		

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2 Value Codes (See Columns C1 and D3)					
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value				

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52. (i-ii) Same as (i-i)					Sold (part)	02/14/20	J	B	
53. (i-iii) Same as (i-i)					Sold	05/08/20	J	B	
54. (j-i) I Shares S&P Midcap 400 Value	A	Dividend			Sold (part)	02/14/20	J	B	
55. (j-ii) Same as (j-i)					Buy (add'l)	03/27/20	J		
56. (j-iii) Same as (j-i)					Sold	05/08/20	J	B	
57. (k-i) Fidelity New Markets Income Fund Class 1	A	Dividend	J	T	Buy (add'l)	05/08/20	J		
58. (k-ii) Same as (k-i)					Buy (add'l)	10/21/20	J		
59. (l-i) Vanguard FTSE Developed Markets ETF	A	Dividend	J	T	Sold (part)	02/14/20	J	A	
60. (l-ii) Same as (l-i)					Sold (part)	03/27/20	J	A	
61. (l-iii) Same as (l-i)					Sold (part)	05/08/20	J	A	
62. (l-iv) Same as (l-i)					Sold (part)	10/21/20	J	A	
63. (l-v) Same as (l-i)					Sold (part)	12/15/20	J	A	
64. (m) T Rowe Price Real Estate Fund #432	A	Dividend			Sold	02/13/20	J	A	
65. (n-i) Vanguard Intermediate Term B	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
66. (n-ii) Same as (n-i)					Buy (add'l)	05/08/20	J		
67. (n-iii) Same as (n-i)					Sold (part)	03/27/20	J	A	
68. (n-iv) Same as (n-i)					Sold (part)	10/21/20	J	A	

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69. (n-v) Same as (n-i)					Sold (part)	12/15/20	J	A	
70. (o) Vanguard Short Term Bond ETF	A	Dividend			Sold	02/14/20	J	A	
71. (p-i) Eaton Vance Global Macro Absolute Return Adv. Fund-Class R6#1072	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
72. (cont. p-i) (Formerly Class I #208) See Part VIII									
73. (p-ii) Same as (p-i)					Sold (part)	03/26/20	J	A	
74. (p-iii) Same as (p-i)					Buy (add'l)	05/08/20	J		
75. (p-iv) Same as (p-i)					Buy (add'l)	10/21/20	J		
76. (p-v) Same as (p-i)					Buy (add'l)	12/14/20	J		
77. (q-i) TCW Emrg Mkts Incm. 14721	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
78. (q-ii) Same as (q-i)					Buy (add'l)	03/27/20	J		
79. (q-iii) Same as (q-i)					Buy (add'l)	05/08/20	J		
80. (r-i) I Shares Russell 2000 ETF	A	Dividend	J	T	Buy (add'l)	03/27/20	J		
81. (r-ii) Same as (r-i)					Sold (part)	02/14/20	J	A	
82. (r-iii) Same as (r-i)					Buy (add'l)	10/21/20	J		
83. (r-iv) Same as (r-i)					Sold (part)	05/08/20	J	A	
84. (r-v) Same as (r-i)					Buy (add'l)	12/15/20	J		
85. (s-i) I Shares Core MSCI Emerging Mks.	A	Dividend	J	T	Sold (part)	03/27/20	J	A	

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86. (s-ii) Same as (s-i)					Sold (part)	05/08/20	J	A	
87. (s-iii) Same as (s-i)					Sold (part)	10/21/20	J	A	
88. (s-iv) Same as (s-i)					Buy (add'l)	12/15/20	J		
89. (t-i) I Shares TRS and P 1500 Index Fd	A	Dividend	K	T	Buy (add'l)	03/27/20	J		
90. (t-ii) Same as (t-i)					Sold (part)	02/14/20	J	A	
91. (t-iii) Same as (t-i)					Sold (part)	05/08/20	J	A	
92. (t-iv) Same as (t-i)					Sold (part)	10/20/20	J	A	
93. (t-v) Same as (t-i)					Sold (part)	12/15/20	J	A	
94. (u-i) Vanguard Midcap Viper	A	Dividend	K	T	Buy (add'l)	02/14/20	J		
95. (u-ii) Same as (u-i)					Buy (add'l)	03/29/20	J		
96. (u-iii) Same as (u-i)					Buy (add'l)	05/08/20	J		
97. (u-iv) Same as (u-i)					Buy (add'l)	06/16/20	J		
98. (u-v) Same as (u-i)					Buy (add'l)	10/21/20	J		
99. (u-vi) Same as (u-i)					Sold (part)	12/15/20	J	A	
100. (v-i) I Share Core U.S. Aggregate	A	Dividend	K	T	Buy (add'l)	05/13/19	J		
101. (v-ii) Same as (v-i)					Buy (add'l)	02/14/20	J		
102. (v-iii) Same as (v-i)					Buy (add'l)	05/08/20	J		

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103. (v-iv) Same as (v-i)					Sold (part)	03/27/20	J	A	
104. (v-v) Same as (v-i)					Buy (add'l)	10/21/20	J		
105. (v-vi) Same as (v-i)					Buy (add'l)	12/15/20	J		
106. (w-i) Principal High Yield - R6#4264	A	Dividend	J	T	Buy (add'l)	02/14/20	J		
107. (w-ii) Same as (w-i)					Buy (add'l)	05/08/20	J		
108. (w-iii) Same as (w-i)					Sold (part)	03/26/20	J	A	
109. (x-i) PGIM High Yield DQ #1067	A	Dividend	J	T	Buy	10/21/20	J		
110. (x-ii) Same as (x-i)					Buy (add'l)	12/14/20	J		
111. (y-i) PIMCO High Yield FD - INST #108	A	Dividend	J	T	Buy	10/21/20	J		
112. (y-ii) Same as (y-i)					Buy (add'l)	12/14/20	J		
113. (z-i) I Shares MSCI USA Quality Factor	A	Dividend	J	T	Buy	02/14/20	J		
114. (z-ii) Same as (z-i)					Buy (add'l)	03/27/20	J		
115. (z-iii) Same as (z-i)					Sold (part)	05/08/20	J	A	
116. (z-iv) Same as (z-i)					Sold (part)	10/21/20	J	A	
117. (z-v) Same as (z-i)					Sold (part)	12/15/20	J	A	
118. (aa-i) Vanguard Dividend Appreciation	A	Dividend	J	T	Buy	02/14/20	J		
119. (aa-ii) Same as (aa-i)					Buy (add'l)	03/27/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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	

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)
120. (aa-iii) Same as (aa-i)					Sold (part)	05/08/20	J	A	
121. (aa-iv) Same as (aa-i)					Sold (part)	10/21/20	J	A	
122. (bb-i) James Alpha GC Real Estate	A	Dividend			Buy	02/14/20	J		
123. (bb-ii) Same as (bb-i)					Buy (add'l)	03/27/20	J		
124. (bb-iii) Same as (bb-i)					Buy (add'l)	05/08/20	J		
125. (bb-iv) Same as (bb-i)					Sold	12/15/20	J	A	
126. (cc-i) PowerShares DB Optimum Yield Diversified (when purchased known	A	Dividend	J	T	Buy	03/29/20	J		
127. (cc-i cont.) as Invesco Optimum Yield Diversified)									
128. (cc-ii) Same as (cc-i)					Buy (add'l)	05/08/20	J		
129. (cc-iii) Same as (cc-i)					Sold (part)	10/21/20	J	A	
130. (cc-iv) Same as (cc-i)					Sold (part)	12/15/20	J	A	

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	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 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/27/2021

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

- 1) Item 71: On September 15, 2020, the shares of Eaton Vance Global Macro Absolute Return Adv. Fund Class I #208 were exchanged for shares of Eaton Vance Global Macro Absolute Return Adv. Fund Class R6#1072 of same value and cost basis.

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/27/2021

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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