

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 04/24/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 125 S. Grand Avenue, Suite 602 Pasadena, CA 91105		
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.)

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.

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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.	West Publishing Co.	Books	\$1,058.21
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</u>	<u>CODE</u>
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) 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. Accts. at Wells Fargo Bank	A	Interest	M	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	A	Interest	L	T					
5. Accts. at Community Bank	A	Interest	L	T					
6. Accts. at California Bank and Trust	A	Interest	L	T					
7. Accts. at Pacific Western Bank	A	Interest	L	T					
8. Accts. at U.S. Bank	A	Interest	M	T					
9. Accts. at Community Commerce Bank	A	Interest	M	T					
10. Accts. at Bank of the West	A	Interest	L	T					
11. Accts. at Citizens Business Bank	A	Interest	L	T					
12. Accts. at Pacific Premier Bank (formerly Security Bank of California)	A	Interest	L	T					
13. Acct. at Discover Bank	A	Interest			Closed	05/13/16	L	A	
14. Acct. at Asheville Savings Bank	A	Interest	L	T	Open	05/13/16	L		
15. Acct. at BMO Harris Bank	A	Interest	L	T	Open	05/12/16	L		
16. Acct. at Goldmans Sachs Bank	A	Interest			Closed	04/24/16	M	A	
17. Acct. at BMW Bank of North America	A	Interest	L	T	Open	05/20/16	L		

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				
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18. Am. Fund Cap Income Builder; CI A	C	Dividend	M	T					
19. Am. Fund New Economy CI A	A	Dividend	J	T					
20. Income Fund of America CI A	B	Dividend	K	T					
21. Am. Cap. Fund CI A	A	Dividend	K	T					
22. Am. Fund Balanced Fund CI A	B	Dividend	M	T					
23. Am Fund Growth Fund CI A	A	Dividend	L	T					
24. Am Fund, Inv. Co. of America CI A	A	Dividend	J	T					
25. Wash. Mut. Inv. Fund CI A	B	Dividend	L	T					
26. Invesco Van Kampen Am. Franchise Fund CI A	A	Dividend	L	T					
27. Invesco Van Kampen Real Estate Fund CI A	A	Dividend	K	T					
28. Invesco Van Kampen Comstock Fund CI A (formerly Van Kampen Comstock)	A	Dividend	K	T					
29. Select Notes Trust Sec. LT #5	A	Interest	J	T					
30. GNMA Pool Cert.	A	Interest	J	T					
31. U.S. T. Bills	A	Interest	L	T					
32. U.S. T. Bills	A	Interest	K	T					
33. U.S. T. Bills	A	Interest	K	T					
34. U.S. T. Bills	A	Interest	N	T					

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☐ NONE (No reportable income, assets, or transactions.)

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35. U.S. T. Bills	A	Interest	L	T					
36. U.S. T. Bills	A	Interest	L	T					
37. Trust #1; Income Beneficiary (Items 38-94)									
38. (a) Wells Fargo, Trustee									
39. (i) Wells Fargo Cash	A	Interest	J	T					
40. (ii) Vanguard REIT Viper	A	Dividend			Sold	03/12/15	J	A	
41. (iii-a) Vanguard Emerging Market ETF	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
42. (iii-b) Same as (iii-a)					Sold (part)	08/01/16	J	A	
43. (iv-a) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
44. (iv-b) Same as (iv-a)					Sold (part)	07/24/15	J	A	
45. (v-a) AMEX Consumer SPDR	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
46. (v-b) Same as (v-a)					Sold (part)	08/01/16	J	A	
47. (vi-a) Consumer Staples Sec SPDR	A	Dividend	J	T					
48. (vi-b) Same as (vi-a)					Sold (part)	01/27/16	J	A	
49. (vi-c) Same as (vi-a)					Sold (part)	08/01/16	J	A	
50. (vii-a) AMEX Energy Select SPDR	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
51. (vii-b) Same as (vii-a)					Sold (part)	08/01/16	J	A	

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52. (viii-a) Financial Select Sec. SPDR	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
53. (viii-b) Same as (viii-a)					Sold (part)	08/01/16	J	A	
54. (ix) Health Care Select Sec. SPDR	A	Dividend	J	T	Buy (add'l)	08/01/16	J		
55. (x) AMEX Industrial SPDR	A	Dividend	J	T	Buy (add'l)	08/01/16	J		
56. (xi-a) AMEX Technology SPDR	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
57. (xi-b) Same as (xi-a)					Sold (part)	08/01/16	J	A	
58. (xii) AMEX Materials SPDR	A	Dividend	J	T					
59. (xiii-a) 1 Shares S&P Midcap 400 Growth	A	Dividend	J	T	Sold (part)	08/01/16	J	A	
60. (xiii-b) Same as (xiii-a)					Buy (add'l)	01/27/16	J		
61. (xiv-a) 1 Shares S&P Midcap 400 Value	A	Dividend	J	T	Sold (part)	08/01/16	J	A	
62. (xiv-b) Same as (xiv-a)					Buy (add'l)	01/27/16	J		
63. (xv-a) 1 Shares Core S&P Small Cap (formerly 1 Shares S&P Cap)	A	Dividend	J	T	Sold (part)	08/01/16	J	A	
64. (xv-b) Same as (xv-a)					Buy (add'l)	01/27/16	J		
65. (xvi-a) Merger FD Class Inst. #301 (formerly Merger FD SH BEN INT)	A	Dividend	J	T					
66. (xvi-b) Same as (xvi-a)									
67. (xvii-a) Credit Suisse Commodity Return Strat. Fund	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
68. (xvii-b) Same as (xvii-a)					Sold (part)	07/28/16	J	A	

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69. (xiii-a) Fidelity Advisors Emerging Markets Income Fund Class I	A	Dividend	J	T	Sold (part)	01/25/16	J	A	
70. (xix-a) Vanguard FTSE Developed Markets ETF	A	Dividend	K	T	Sold (part)	08/01/16	J	A	
71. (xix-b) Same as (xix-a)					Buy (add'l)	01/27/16	J		
72. (xx-a) ASG Global Alternative fund Class Y	A	Dividend	J	T	Buy (add'l)	08/01/16	J		
73. (xx-b) Same as (xx-a)					Sold (part)	01/25/16	J	A	
74. (xxi) Eaton Global Marco Absolute Return Fund Class - 1#0088	A	Dividend	J	T	Sold (part)	01/25/16	J	A	
75. (xxii) T Rowe Price Inst Float Rate Fund	A	Dividend	J	T	Buy (add'l)	08/01/16	J		
76. (xxiii-a) T Rowe Price Short Term Bond Fund	A	Dividend			Sold (part)	01/25/16	J	A	
77. (xxiii-b) Same as (xxiii-a)					Sold	07/28/16	J	A	
78. (xxiv) Neuberger Berman Long Short Fund	A	Dividend	J	T	Sold (part)	01/25/16	J	A	
79. (xxv-a) Met West Total Return Bond Fund CL#512	A	Dividend			Sold (part)	01/25/16	J	A	
80. (xxv-b) Same as (xxv-a)					Sold	10/07/16	K	A	
81. (xxvi) AQR Managed Futures STR-1 #15213	A	Dividend	J	T	Sold (part)	01/25/16	J	A	
82. (xxvii-a) Blackrock Global L/S Credit - Ins	A	Dividend	J	T	Buy (add'l)	08/01/16	J		
83. (xxvii-b) Same as (xxvii-a)					Sold (part)	01/25/16	J	A	
84. (xxvii-c) Same as (xxvii-a)					Buy (add'l)	08/01/16	J		
85. (xxviii) T Rowe Price Real Estate Fd. #122	A	Dividend	J	T	Buy (add'l)	01/25/16	J		

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86. (xxix) I Shares MSCI Emerging Mkts	A	Dividend			Sold	01/27/16	J	A	
87. (xxx-a) JP Morgan High Yield Fund Select Shares	A	Dividend	J	T	Buy	03/16/16	J		
88. (xxx-b) Same as (xxx-a)					Buy (add'l)	08/01/16	J		
89. (xxxi) Vanguard Inflation Protected Sec. Fund - Admiral Shares	A	Dividend	J	T	Buy	08/01/16	J		
90. (xxxii) Vanguard Intermediate Term B	B	Dividend	K	T	Buy	08/01/16	K		
91. (xxxiii) Vanguard Short Term Bond ETF	A	Dividend	K	T	Buy	08/01/16	K		
92. (xxxiv-a) Real Estate Select Sector	A	Dividend	J	T	Spinoff (from line 52)	09/24/16	J	A	
93. (xxxiv-b) Same as (xxxiv-a)					Sold (part)	10/07/16	J		
94. (b) Real Property in Clifton, AZ (trustee unknown)		None							

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

- 1) Item 52 of Part VII of this report was mistakenly labeled "AMEX Financial Select SPDR" at item 61 of Part VI of the report for 2015.
- 2) Item 54 of Part VII of this report was mistakenly labeled "AMEX Health Care SPDR" at item 65 of Part VI of the report for 2015.
- 3) Item 94 of Part VII of this report. I have recently been informed that the property is not part of the trust estate. I have not received an interest in the property.

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