

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) Nguyen, Jacqueline H.	2. Court or Organization U.S. Court of Appeals for the Ninth Circuit	3. Date of Report 12/08/2014
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge - Active	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 Richard H. Chambers U.S. Courthouse 125 S. Grand Avenue 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1
2.	
3.	
4.	
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.	
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.)*DATESOURCE AND TYPEINCOME
(yours, mispouse'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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1.	Stanford Law School	January 14, 2013	Palo Alto, CA	discussion with students	transportation
2.	Sacramento Bar Association	May 1-2, 2013	Sacramento, CA	keynote	transportation, hotel
3.	Association of Business Trial Lawyers	October 3-6, 2013	Laguna Niguel, CA	annual meeting	hotel
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.	Wells Fargo Bank (Part VII, line 3)	Mortgage	M
2.	Bank of America (Part VII, line 2)	Mortgage	M
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. Perkins Mid-Cap Value Fund	A	Int./Div.	K	T					
2. Los Angeles Property #1 (Y) -Trust #1		None							
3. Orange County Property #2 - Trust #1	D	Rent	M	W					
4. Bank of America checking	A	Int./Div.	J	T					
5. Southland Federal Credit Union #1	A	Int./Div.	K	T					
6. Southland Federal Credit Union Account #2	B	Int./Div.	L	T					
7. Charles Schwab cash/money market deposit account	A	Int./Div.	K	T					
8. Putnam MultiCap Growth -IRA#1 (formerly Bank of America IRA)	A	Int./Div.	J	T					
9. Los Angeles County 401(k) Retirement Plan (h)		None	O	T					
10. -Savings Stable Value Fund									
11. -Savings Large Cap Equity Fund									
12. -Savings Small Cap Equity Fund									
13. -Savings 2020 Target Date Fund									
14. -Savings 2030 Target Date Fund									
15. ScholarShare College Savings Plan-CA Portfolio 2021 age based		None	K	T					
16. ScholarShare College Savings Plan-CA Portfolio 2018 age based		None	K	T					
17. County of Los Angeles 457 Savings Plan (h)		None	M	T					

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
P1 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
Q = \$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
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

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

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code I (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)
18. -Horizons 2010 Target Date Fund									
19. -Horizons Non-US Equity Fund									
20. -Horizons Small Cap Equity Fund									
21. -Horizons Large Cap Equity Fund									
22. -Horizons Stable Income Fund									
23. Putnam Muticap Growth-IRA#2	A	Int./Div.	J	T					
24. Janus Growth & Inc.	A	Int./Div.	J	T					
25. Microsoft Corp. (X)	A	Int./Div.	J	T					
26.									

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(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

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P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
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B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$200,001 - \$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
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S = Assessment
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H = \$15,001 - \$50,000

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

Part 1. Trust #1 is a [REDACTED] trust. [REDACTED] and I are co-trustees and beneficiaries, together with [REDACTED]

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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/ Jacqueline H. Nguyen

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