

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Ikuta, Sandra S.	2. Court or Organization Ninth Circuit	3. Date of Report 07/23/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. Court of Appeals - Ninth 125 South Grand Avenue Pasadena, California 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 #1	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. 1997	O'Melveny & Myers Defined Benefit Plan with former law firm, no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

07/23/2013

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. The Federalist Society	03/03/2012-03/04/2012	Stanford, California	Speaker	Transportation food, and hotel
2. University of Chicago Law School	04/29/2012-05/01/2012	Chicago, IL	Speaker, Judge of Moot Court	Transportation, food and hotel
3. George Mason School of Law	10/06/2012-10/10/2012	Arlington, VA	Educational program	Transportation, food and hotel
4. Federal Bar Association Hawaii Chapter	12/12/2012-12/14/2012	Honolulu, Hawaii	Speaker	Transportation, food and hotel
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

07/23/2013

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.	Bank of America	Mortgage on rental property, Agoura, California	M
2.	Citimortgage	Mortgage on rental property, West Los Angeles, California	M
3.	Union Bank	Mortgage on rental property, West Los Angeles, California	M
4.	Union Bank	Mortgage on rental property, Santa Monica, California	O
5.	City National Bank	Mortgage on rental property, Los Angeles, California	L

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Ikuta, Sandra S.

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07/23/2013

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. ING Direct Accounts (cash equivalent) (Y)									
2. Bank of America	A	Interest			Closed	04/17/12	J	A	
3. Trust 1	G	Rent	P1	W					
4. -Rental Property, Agoura, California									
5. -50% interest in rental property, Venice, California									
6. -50% interest in rental property, W. Los Angeles, California									
7. -33% interest in rental property, Santa Monica, California									
8. -Rental property, Los Angeles, California									
9. IRA#2	D	Dividend	O	T					
10. -CNI Money Market									
11. -CNI Charter Corporate bond Servicing					Buy	02/16/12	J		
12.					Buy (add'l)	12/14/12	J		
13.					Buy (add'l)	12/19/12	J		
14. -CNI Charter Govt Bond Fund					Buy	02/16/12	J		
15.					Buy (add'l)	9/06/12	J		
16.					Buy (add'l)	12/14/12	J		
17.					Buy (add'l)	12/19/12	J		

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 = \$250,001 - \$500,000	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

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18.					Sold (part)	03/14/12	K		
19.	-CNI Charter High Yield Bond Fund				Buy	02/15/12	J		
20.					Sold (part)	12/14/12	J		
21.	-Doubleline Total Return Bond Fund				Buy	03/14/12	K		
22.	-Eaton Vamce Floating Rate Bond Fund C1				Buy	12/14/12	J		
23.	-Ivy High Income Fund C11				Buy	09/06/12	K		
24.					Sold (part)	12/14/12	J		
25.	-Principal Preferred Securites Fund INSTL				Buy	07/19/12	K		
26.	-CNI Charter US Core Equity Ser				Buy	12/19/12	K		
27.	-ING Global Real Estate Fund				Buy	03/14/12	J		
28.	-Oppeheimer Dev Markets C11				Buy	09/06/12	J		
29.					Buy (add'l)	12/14/12	J		
30.	-PIMCO Commodity Real Return Strategy				Buy	03/14/12	J		
31.	-Touchstone Small Cap Core Fund Y				Buy	02/16/12	J		
32.					Buy (add'l)	12/14/12	J		
33.					Buy (add'l)	09/06/12	J		
34.					Sold (part)	03/14/12	J		

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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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. -Ishares Gold Trust Shs Bene Int					Buy	03/16/12	J		
36. -Ishares S&P US Preferred Stock Index Fund					Buy	05/21/12	K		
37.					Sold (part)	06/26/12	J		
38.					Sold (part)	07/23/12	J		
39. -SPDR S&P Divided ETF					Buy	05/21/12	J		
40.					Buy (add'l)	12/06/12	K		
41.					Sold (part)	12/21/12	J		
42. -Vanguard MSCI EAFE ETF					Buy	12/18/12	J		
43. -CNI Charter Lg Cap Val Eqty-Inst					Sold (part)	02/16/12	J		
44.					Sold (part)	03/14/12	J		
45.					Buy (add'l)	07/19/12	J		
46.					Sold (part)	12/04/12	J		
47.					Sold	12/31/12	J		
48. -CNI Charter Lge Cap Grwth-Inst					Sold (part)	02/16/12	J		
49.					Sold (part)	03/14/12	J		
50.					Sold (part)	05/17/12	J		
51.					Sold (part)	12/07/12	K		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

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52.					Sold	12/31/12	J		
53. -CNI Charter Corp Bond Fd-Instl					Sold (part)	03/14/12	J		
54.					Sold	12/18/12	L		
55. -CNI Charter Govt Bd Fd-Instl CI					Sold	03/14/12	K		
56.					Buy	09/06/12	J		
57. -CNI Charter High Yld Bd FD-Instl					Buy (add'l)	02/15/12	J		
58.					Sold	12/14/12	J		
59. -Dodge&Cox Intl Stk Fd					Sold	02/16/12	J		
60. -Eaton Vance Stret Em Mkt					Buy (add'l)	07/19/12	J		
61.					Sold (part)	02/16/12	J		
62.					Sold (part)	03/14/12	J		
63.					Sold	09/06/12	J		
64. -Royce Pen Mut Fd Invest CI					Sold (part)	02/16/12	J		
65.					Sold	07/19/12	J		
66. -Tweedy Browne Global Value FD					Buy	02/16/12	J		
67.					Sold	05/17/12	J		
68. -First Eagle Overseas Fd CI1					Buy	02/16/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 15

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69.					Sold	05/17/12	J		
70. -Pimco Emerging Local Bond					Buy	03/14/12	J		
71.					Sold (part)	05/17/12	J		
72.					Sold	06/22/12	J		
73. -Pimco Emerging Mtk Bd INSTL					Buy	03/14/12	J		
74.					Sold	07/19/12	J		
75. -Vanguard Hi Yld Corp					Buy	03/14/12	J		
76.					Sold	09/06/12	J		
77. Brokerage Account #1									
78. -500 Index Fund Inv	B	Dividend	K	T					
79. -Small-Cap Index Fund Inv	A	Dividend	L	T					
80. American Funds VCSP/College America 529A	B	Dividend	L	T					
81. -Growth Fund of America									
82. -The Investment Company of America									
83. -Washington Mutual Investors Fund									
84. -The Bond Fund of America									
85. Brokerage Account #2									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

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86. -CNI Money Market Account	A	Interest	J	T					
87. -CNI Charter Lg Cap Val Eqty-Inst	A	Dividend			Buy	09/06/12	J		
88.					Sold (part)	03/14/12	J	B	
89.					Sold (part)	05/17/12	J	A	
90.					Sold (part)	11/23/12	J	A	
91.					Sold (part)	12/04/12	J	A	
92.					Sold	12/31/12	J	A	
93. -CNI Charter Lge Cap Gwth-Instl	A	Dividend			Sold (part)	03/14/12	J	A	
94.					Buy (add'l)	07/19/12	J		
95.					Sold (part)	11/23/12	J	C	
96.					Sold (part)	11/23/12	J	A	
97.					Sold (part)	12/04/12	K		
98.					Sold	12/31/12	J	A	
99. -CNI Charter US Core Equity Ser	A	Dividend	K	T	Buy	12/06/12	K		
100. -CNI Charter Cal Tx Exmpt Insti	D	Dividend	N	T	Buy (add'l)	02/16/12	J		
101.					Buy (add'l)	07/19/12	J		
102.					Sold (part)	03/14/12	L	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

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103.					Sold (part)	12/18/12	J	B	
104.					Sold (part)	12/18/12	J	A	
105. -Dodge&Cox Intl Stock FD	A	Dividend			Sold	02/16/12	J	A	
106. -Eaton Vance Stret Em Mrkt	A	Dividend			Sold (part)	03/14/12	J	A	
107.					Sold	09/06/12	J	A	
108. -Royce Pen Mut FD Invest CL	A	Dividend			Sold (part)	02/16/12	J	A	
109.					Sold	06/12/12	J	A	
110. -CNI Charter High Yld Bd Fd Inst	B	Dividend	K	T	Buy (add'l)	03/14/12	J		
111.					Buy (add'l)	09/06/12	J		
112.					Sold (part)	07/19/12	J	A	
113.					Sold (part)	12/06/12	J	A	
114. -Doubleline Total return bond	B	Dividend	K	T	Buy	03/14/12	K		
115.					Buy (add'l)	09/06/12	J		
116.					Buy (add'l)	12/06/12	J		
117.					Sold (part)	05/17/12	J	A	
118.					Sold (part)	07/19/12	J	A	
119. -First Eagle Overseas FD CL1	A	Dividend			Buy	02/15/12	J		

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Page 11 of 15

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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)
120.					Sold	05/17/12	J		
121. -Tweedy Browne Global Value FD#001	A	Dividend			Buy	02/16/12	J		
122.					Buy (add'l)	03/14/12	J		
123.					Sold	05/17/12	J		
124. -SPDR S&P Dividend ETF	A	Dividend	J	T	Buy	05/21/12	K		
125.					Sold (part)	06/26/12	J	A	
126. -Pimco Emerging Mkts Bd Instl 137	A	Dividend			Buy	03/14/12	J		
127.					Sold	07/19/12	J	A	
128. -Pimco Emerging Local Bonds	A	Dividend	J	T	Buy	03/14/12	J		
129.					Sold (part)	09/06/12	J		
130. -Vanguard Hi Yld Corp FD Admiral 529	A	Dividend	J	T	Buy	03/14/12	K		
131.					Sold (part)	09/06/12	J	A	
132. -Ivy High Income Fund Class I	B	Dividend	K	T	Buy	09/06/12	K		
133.					Sold (part)	12/06/12	J	A	
134.					Sold (part)	12/17/12	J	A	
135.					Sold (part)	12/17/12	J	B	
136. -Touchstone small cap core fund Y	A	Dividend	J	T	Buy	05/17/12	J		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

07/23/2013

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)
137.					Buy (add'l)	09/06/12	J		
138.					Buy (add'l)	06/12/12	J		
139.					Sold (part)	12/06/12	J	A	
140.					Sold (part)	12/07/12	J	A	
141.					Sold (part)	12/07/12	J	A	
142. -Pimco Commodity RR Strategy-Instl#45	A	Dividend	J	T	Buy	03/14/12	J		
143.					Sold (part)	12/13/12	J	A	
144. -Principal Preferred Securities INSTL	B	Dividend	K	T	Buy	07/19/12	J		
145.					Buy (add'l)	12/06/12	J		
146.					Sold (part)	12/13/12	J	A	
147.					Sold (part)	12/27/12	J	A	
148. -ING Global Real Estate Fund I	A	Dividend	J	T	Buy	03/14/12	J		
149. -Ishares Gold Trust	A	Dividend	J	T	Buy	03/16/12	J		
150.					Buy (add'l)	05/21/12	J		
151.					Buy (add'l)	12/10/12	J		
152. -Oppenheimer Developing Mkt Cll	A	Dividend	J	T	Buy	09/06/12	J		
153. -Eaton Vance Floating Rate C1 I	A	Dividend	J	T	Buy	12/06/12	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

07/23/2013

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)
154. -Vanguard MSCI EAFE ETF	A	Dividend	J	T	Buy	12/10/12	J		
155. Flexible Variable Universal Life Ins Incentive Life	A	Dividend							
156. -Eq/ Common Stock Index					Sold	08/15/12	K	A	
157. -Eq/Large Cap Value Plus					Sold	08/15/12	K	A	
158. -Eq/Equity 500 Index					Sold	08/15/12	K	A	
159. -Eq Mid Cap Value PLUS					Sold	08/15/12	J	A	
160. -Eq/BlackRock Bsic Value Equity					Sold	08/15/12	K	A	
161. -Eq/Black Rock International Value					Sold	08/15/12	J	A	
162. -Eq/Large Cap Growth Plus					Sold	08/15/12	J	A	
163. Series EE U.S. Savings Bonds	A	Interest	J	T					
164. City National Bank Preferred Ladder Money Market	A	Interest	L	T	Open	01/01/12	L		
165. ING Flexible Premium Adjustable Universal Life Insurance		None	L	T	Buy	09/05/12	M		

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	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting	Date of Report
Ikuta, Sandra S.	07/23/2013

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

Part VI, Line 2 & 3: I have reported a value code for the entire mortgage amount, although I have only a 50% ownership interest.

Part VI, Line 4: I have reported a value code for the entire mortgage amount, although I have only a 33% ownership interest

Part VII, Line 1: Cash equivalent account is under \$5,000.

Part VII, Line 3: I have calculated the income during the reporting period and the gross value at the end of the reporting period based on my percentage interest in the properties.

Part VII, Line 155: closed per lines 156-162.

Part VII, Line 164, City National Bank Preferred Ladder Money Market was opened 11/11, omitted by accident on prior report.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

07/23/2013

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/ Sandra S. Ikuta*

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