

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Tallman, Richard C.	2. Court or Organization U.S. Court of Appeals, Ninth Circuit	3. Date of Report 05/16/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active United States Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address William K. Nakamura United States Courthouse 1010 Fifth Avenue, Suite 902 Seattle, Washington 98104-1130		
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. Member	Northwestern University School of Law Advisory Board
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 6

Name of Person Reporting

Tallman, Richard C.

Date of Report

05/16/2016

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. 2015	Washington State Department of Retirement Systems
2. 2015	Prudential Deferred Compensation Mutual Funds
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. Pepperdine University School of law	April 10-11, 2015	Malibu, CA	Judging Moot Court Finals	Transportation, Lodging, Meals
2. Northwestern School of Law	April 17-18, 2015	Chicago, IL	Law Board Meeting	Transportation, Lodging, Meals
3. Idaho State Bar Association	July 22-24, 2015	Ketchum, ID	Idaho State Bar Annual Meeting	Transportation, Lodging, Meals
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 6

Name of Person Reporting

Tallman, Richard C.

Date of Report

05/16/2016

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.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Tallman, Richard C.

Date of Report

05/16/2016

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. Prudential Deferred Compensation Mutual Funds:	B	Dividend	K	T					
2. - PIMCO Total Return Instl. Fund	A	Dividend	J	T					
3. -Dodge & Cox Stock Fund	A	Dividend	J	T					
4. - Hotchkis & Wiley Sm. Cap. Val. I	A	Dividend	J	T					
5. - American Funds EuroPac Gr R5	A	Dividend	J	T					
6. Wells Fargo Bank Checking/Savings accts	A	Interest	K	T					
7. JPMorgan Chase Bank Checking/Savings Accts	A	Interest	K	T					
8. Vanguard Group Funds:	D	Dividend	O	T					
9. - Vanguard 500 Index	A	Dividend	M	T					
10. - Vanguard Explorer (See Part VII, note 1.)	A	Dividend	M	T	Sold (part)	08/20/15	J		
11. - Vanguard PRIMECAP Core (See Part VII, note 2.)	A	Dividend	K	T	Sold (part)	08/20/15	J		
12. - Vanguard High-Yield Corporate	A	Dividend	K	T					
13. - Vanguard International Growth	B	Dividend	L	T					
14. - Vanguard Short Term Inv Grade	B	Dividend	N	T					
15. - Vanguard Prime Money Mkt (X)	A	Dividend	K	T					
16. Aetna Universal Life Ins.	A	Dividend	K	T					
17. Bank of America, Checking & Savings Accounts	A	Interest	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting

Tallman, Richard C.

Date of Report

05/16/2016

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

1. Part VII, line 10: Portion of portfolio sold and reallocated to Vanguard Int'l Growth Fund.
- 2.. Part VII, line 11: Portion of portfolio sold and reallocated to Vanguard Short Term Investment Grade Fund & Vanguard Int'l Growth Fund.

FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting	Date of Report
Tallman, Richard C.	05/16/2016

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/ Richard C. Tallman**

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