

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Alarcon, Arthur L.	2. Court or Organization Court of Appeals - 9th Circuit	3. Date of Report 05/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2011 to 12/31/2011
7. Chambers or Office Address U.S. Courthouse 312 No. Spring Street Los Angeles, CA 90012		
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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Las Familias del Pueblo (a not-for-profit corporation)
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. 6/76	Employee's Retirement Benefit (Los Angeles County)
2. 6/76	Employee's Retirement Benefit (State of California)
3. 6/92	State Judge's Pension

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/10/2012

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011	Retirement Benefits, State of California	\$2,536.00
2. 2011	Retirement Benefits, Los Angeles County	\$12,262.00
3. 2011	Retirement Benefits, State of California Judges	\$41,920.00
4. 2011	West Services Inc., book royalties	\$6,236.00

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2011	Retirement Plan of Citibank
2. 2011	Retirement Plan of Honeywell
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Cornell Law School	Apr 7-10, 2011	Ithaca, NY	Moot Court (judge)	Meals, hotel, transportation
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/10/2012

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Alarcon, Arthur L.

Date of Report

05/10/2012

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. Cal Western Life Ins Co	A	Interest	K	W					
2. U.S. Treasury Bills	A	Interest	K	T					
3. United Airline Stock		None	J	T					
4. Citibank Accounts	A	Interest	L	T					
5. Brokerage Account #1:									
6. - TD Ameritrade MMDA Sweep Account	A	Interest	L	T					
7. - Citigroup Stock	A	Dividend	J	T					
8. - Coca Cola Stock	A	Dividend	J	T					
9. - Hewlett Packard Stock	A	Dividend	K	T	Sold (part)	03/16/11	J	A	
10. - Microsoft Stock	A	Dividend	J	T					
11. - Proctor & Gamble Stock	A	Dividend	J	T					
12. - Nokia Stock	A	Dividend	J	T					
13. - IBM Stock	A	Dividend	J	T					
14. - Sara Lee Stock	A	Dividend			Sold	03/22/11	J	A	
15. - Mastercard Inc Stock	A	Dividend	J	T					
16. - Paterson-UTI Energy Inc Stock		None			Sold	02/28/11	J	A	
17. Brokerage Account #2:									

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 5 of 10

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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. - TD Ameritrade MMDA Sweep Account	A	Interest	K	T					
19. - Honeywell Stock	A	Dividend	K	T					
20. - Cisco Stock	A	Dividend	J	T					
21. - Pfizer Stock	A	Dividend			Sold	12/01/11	J		
22. - Merck Stock	A	Dividend	J	T					
23. - EXXON Mobil Corp Stock	A	Dividend	J	T					
24. - Intel Stock	A	Dividend	J	T					
25. - Clorox Company Stock	A	Dividend	J	T					
26. - Citigroup Inc Stock	A	Dividend	J	T					
27. - GE Stock	A	Dividend	J	T					
28. - Vanguard International Growth Mutual Fund	A	Dividend	K	T	Buy (add'l)	12/19/11	J		
29. - Neuberger Berman Guardian Mutual Fund	A	Dividend	K	T	Buy (add'l)	12/19/11	J		
30. - Treasury Note	A	Interest	K	T					
31. Brokerage Account #3:									
32. - Wells Fargo Bank Deposit Sweep Option	A	Interest	J	T					
33. - Ford Motor Credit Co SR Notes (VA8 acq 08/13/10)	D	Interest			Redeemed	08/10/11	L		
34. - Ca St Dpt Wtr Res Wtr Rev Bond (NX7 acq 06/03/10)	A	Interest			Redeemed	12/01/11	K		

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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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	(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. - Ca St G/O Bond (NL2 acq 05/06/10)	B	Interest	K	T					
36. - Ca St Var Purp G/O Unltd Bond (3C0 acq 06/03/10)	B	Interest	K	T					
37. - Ca St Var Purp G/O Unltd Bond (H92 acq 05/04/10)	B	Interest	K	T					
38. - Ca St Var Purp G/O Unltd Bond (KT4 acq 05/03/10)	B	Interest	K	T					
39. - Ca St Econ Recov Ser A Bond (AX9 acq 06/04/10)	B	Interest	K	T					
40. - Ca St Ref G/O Unltd Bond (F41 acq 06/07/10)	A	Interest	J	T					
41. - Ca St Var Purp Fsa Cr G/O Cus Bond (A32 acq 06/22/10)	B	Interest	K	T					
42. - Ca Stwide Cmnty Dev Prop 1A Bond (R58 acq 08/16/10)	B	Interest	K	T					
43. - Ca St Var Purp G/O Txbi Bond (5F7 acq 06/03/10)	C	Interest	K	T					
44. - State Bank India CD (WT7 acq 09/24/10)	A	Interest			Redeemed	09/28/11	M		
45. - Plainscapital Bank CD (VE6 acq 06/24/10)	A	Interest	L	T					
46. - Ford Motor Credit Co Global Notes (TZ6 acq 09/12/11)	C	Interest	L	T	Buy	09/12/11	L		
47. - Genl Motors Accept Corp Global Notes (SE1 acq 09/30/11)		None	M	T	Buy	09/30/11	M		
48. - Hewlett Packard Co Sr Unsecured (BL6 acq 12/19/11)		None	K	T	Buy	12/19/11	K		
49. Brokerage Account #4:									
50. - Wells Fargo Bank Deposit Sweep Option	A	Interest	K	T					
51. - Ca St Econ Recov Ser B Bond (JV4 acq 5/21/09)	C	Interest			Redeemed	03/01/11	L		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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52. - Ca St Pub Wks Brd Bond (SB0 acq 3/24/09)	C	Interest			Redeemed	11/01/11	L		
53. - Ca St Univ Rev Ref Bond (FV1 acq 03/24/09)	B	Interest			Redeemed	11/01/11	K		
54. - Ca St Econ Recov Ser A Bond (LU3,LQ2 acq 4/23/09)	B	Interest	K	T					
55. - Ca Infra & Econ Dev Bk Rev Ser E Bond (34Z acq 08/13/10)	B	Interest	L	T					
56. - Ca St Cmnty Dev Auth Rev Prop 1A Bond (R58 acq 08/16/10)	A	Interest	K	T					
57. - Ca St G/O Unltd Bond (Z49 acq 11/09/10)	C	Interest	L	T					
58. - Ca St Econ Recov Ser A Bond (BC4 acq 12/10/10)	B	Interest	K	T					
59. - Ca St G/O Unltd Bond (PU0 acq 03/09/11)	A	Interest	K	T	Buy	03/09/11	K		
60. - Ca St G/O Unltd Bond (N91 acq 03/17/11)	B	Interest	K	T	Buy	03/17/11	K		
61. - Ford Motor Credit Co Global Notes (TZ6 acq 11/23/11)		None	M	T	Buy	11/23/11	M		
62. Brokerage Account #5 (managed asset portfolio)									
63. - Ishares Barclays Inter Gov Cre Bd (GVI) (612)		None	J	T	Buy	11/30/11	J		
64. - Ishares Barclays MBS Bond Fund (MBB) (588)		None	J	T	Buy	11/30/11	J		
65. - Ishares Barclays Tips Bond Fund (TIP) (176)		None	J	T	Buy	11/30/11	J		
66. - Ishares Barclays 1-3 Yr Trs Bd (SHY) (457)		None	J	T	Buy	11/30/11	J		
67. - Ishares Msci Eafe Index Fund (EFA) (465)		None	J	T	Buy	11/30/11	J		
68. - Ishares S&P/Citigroup Intl Treas Fund (IGOV) (117)	A	Dividend	J	T	Buy	11/30/11	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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69. - Vanguard Growth ETF Msci US Prime Mkt (VUG) (736)	A	Dividend	J	T	Buy	11/30/11	J		
70. - Vanguard Value ETF Msci US Prime Mkt (VTV) (744)	A	Dividend	J	T	Buy	11/30/11	J		

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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 9 of 10

Name of Person Reporting	Date of Report
Alarcon, Arthur L.	05/10/2012

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

- 1) Part VII, lines 2 and 30 -- U.S. Treasury Bills. Special case of transfers, not covered in filing instructions. The 2010 "U.S. Treasury Bills" entry included different two T Bills / Notes, each in a different "Legacy Treasury Direct" account. In May 2010, the U.S. Treasury phased out the "Legacy Treasury Direct" accounts, and gave participants the option of transferring existing bills/notes to a "Treasury Direct" account or to a user-selected brokerage account. One bill/note was transferred to a "Treasury Direct" account (line 2) and the other was transferred to the a brokerage account (line 30). The bills/notes did not change in value, nor future redemption date. The aggregate gross value of both bills is code K, and the separate gross value of each bill is code K.
- 2) Part VII: Differences between 2010 and 2011 for entries in Column B (Income) and C (Gross Value) are due to market fluctuation in stock prices and interest/dividends, except for line 42, Col(B(1) where the entry is a correction of the 2010 H2 code typo.
- 3) Part VII, the "Audit" flagged lines 5, 17, 31, 49, and 62 with "...if the entry in column A is not a header then...." Lines 5, 17, 31, 49, and 62 are headers.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

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Date of Report

05/10/2012

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/ Arthur L. Alarcon**

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