

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) Alarcon, Arthur L.	2. Court or Organization Court of Appeals - 9th Circuit	3. Date of Report 03/26/2014
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 01/01/2013 to 12/31/2013
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.		

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.	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.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Retirement Benefits, State of California	\$2,672.00
2. 2013	Retirement Benefits, Los Angeles County	\$13,002.00
3. 2013	Retirement Benefits, State of California Judges	\$41,920.00
4. 2013	West Services Inc., book royalties	\$5,818.00

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. 2013	Retirement Plan of Citibank
2. 2013	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. California State Bar Meeting	10/07/13	Fresno, CA	Speaker	Transportation
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
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. Cal Western Life Ins Co	A	Interest	K	W					
2. United Continental Holdings Stock		None	J	T					
3. Citibank Accounts	A	Interest	L	T					
4. Wells Fargo Bank Accounts (X)	A	Interest	K	T					
5. Brokerage Account #1 (H)									
6. -- TD Ameritrade MMDA Sweep Account	A	Interest	M	T					
7. -- Citigroup Stock	A	Dividend	K	T					
8. -- Coca Cola Stock	A	Dividend	K	T					
9. -- Hewlett Packard Stock	A	Dividend	K	T					
10. -- Microsoft Stock	A	Dividend	J	T					
11. -- Proctor & Gamble Stock	A	Dividend	K	T					
12. -- IBM Stock	A	Dividend	K	T					
13. -- Mastercard Inc Stock	A	Dividend	K	T					
14. Brokerage Account #2 (H)									
15. -- TD Ameritrade MMDA Sweep Account	A	Interest	L	T					
16. -- Honeywell Stock	B	Dividend	L	T					
17. -- Cisco Stock	A	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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)

18. -- Merck Stock	A	Dividend	J	T					
19. -- EXXON Mobil Corp Stock	A	Dividend	J	T					
20. -- Intel Stock	A	Dividend	J	T					
21. -- Clorox Company Stock	A	Dividend	J	T					
22. -- Citigroup Inc Stock	A	Dividend	J	T					
23. -- GE Stock	A	Dividend	J	T					
24. -- Vanguard International Growth Mutual Fund	D	Dividend	K	T					
25. -- Neuberger Berman Guardian Mutual Fund	D	Dividend	L	T					
26. -- Treasury Note	A	Interest	K	T					
27. Brokerage Account #3 (H)									
28. -- Wells Fargo Bank Deposit Sweep Option	A	Interest	K	T					
29. -- Ca St Var Purp Fsa Cr G/O Cus Bond (A32 acq 06/22/10)	A	Interest			Redeemed	06/03/13	K		
30. -- Ca Stwide County Dev Prop 1A Bond (R58 acq 08/16/10)	A	Interest			Redeemed	06/17/13	K		
31. -- Ca St Var Purp G/O Txbi Bond (5F7 acq 06/03/10)	B	Interest			Redeemed	04/02/13	K		
32. -- Ford Motor Credit Co Global Notes (TZ6 acq 09/12/11)	D	Interest			Redeemed	10/01/13	L		
33. -- Hewlett Packard Co Sr Unsecured (BL6 acq 12/19/11)	B	Interest	K	T					
34. -- Ally Financial Corp Bond (AF7 acq 2/17/12 & 3/2/12)	D	Interest	M	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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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. -- International Steel Corp Bond (AB0 acq 08/28/12)	D	Interest	L	T					
36. -- Citigroup Inc Sub Notes (CQ2 acq 07/12/12)	C	Interest	L	T					
37. -- Citigroup Inc Sub Bonds (BW0 acq 07/11/12)	C	Interest	L	T					
38. -- Telecom Italia Capital Corp Bond (AE8 acq 08/29/12)	B	Interest			Redeemed	11/15/13	K		
39. -- Donnelley (RR) & Sons Notes (FH7 acq 06/04/13)	A	Interest			Buy	06/04/13	K		
40.					Sold	08/27/13	K	A	
41. -- Renaissancere (P119 acq 05/21/13)	B	Dividend	K	T	Buy	05/21/13	K		
42. -- Cheasapeake Energy Corp Bond (CJ4 acq 06/04/13)	A	Interest	K	T	Buy	06/04/13	K		
43. -- Del Inc Corp Bond (AP6 acq 07/23/13)	A	Interest	J	T	Buy	07/23/13	J		
44. -- Telecom Italia Capital Note (AL2 acq 07/23/13)	A	Interest	K	T	Buy	07/23/13	K		
45. -- Deutsche Bk Finl LLC Corp Bond (AA7 acq 08/28/13)	A	Interest	K	T	Buy	08/28/13	K		
46. -- Ares Capital Corp Bond (AD5 acq 10/15/13)	B	Interest	K	T	Buy	10/15/13	K		
47. -- Ford Motor Credit Co Corp Bond (AC6 acq 10/28/13)	A	Interest	K	T	Buy	10/28/13	K		
48. -- Plains Exploration Corp Bond (AJ9 acq 10/28/13)	A	Interest	K	T	Buy	10/28/13	K		
49. Brokerage Account #4 (H)									
50. -- Wells Fargo Bank Deposit Sweep Option	A	Interest	L	T					
51. -- Ca St Cmnty Dev Auth Rev Prop 1A Bond (R58 acq 08/16/10)	A	Interest			Redeemed	06/17/13	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 \$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	

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52. -- Ca St G/O Unltd Bond (Z49 acq 11/09/10)	C	Interest			Redeemed	08/01/13	L		
53. -- Ca St Econ Recov Ser A Bond (BC4 acq 12/10/10)	B	Interest			Redeemed	07/01/13	K		
54. -- Ca St G/O Unltd Bond (PU0 acq 03/09/11)	B	Interest	K	T					
55. -- Ca St G/O Unltd Bond (N91 acq 03/17/11)	A	Interest			Redeemed	04/02/13	K		
56. -- Ford Motor Credit Co Global Notes (TZ6 acq 11/23/11)	D	Interest			Redeemed	10/01/13	M		
57. -- GMAC Inc Corp Bond (BZ5 acq 1/30/12)	C	Interest			Redeemed	12/31/13	K		
58. -- Morgan Stanley Corp Bond (AD1 acq 4/20/12)	C	Interest	L	T					
59. -- Intl Lease Finance Corp Bond (B49 acq 7/13/12)	C	Interest	L	T					
60. -- Deutsche Bank Finl LLC Notes (AA7 acq 7/16/12)	B	Interest	K	T					
61. -- Goodyear Tire & Rubber GTD Note (BA8 acq 05/20/13)	B	Interest	K	T	Buy	05/20/13	K		
62. -- Goodyear Tire & Rubber Sr Note (BD2 acq 05/20/13)	B	Interest	K	T	Buy	05/20/13	K		
63. -- SLM Corp Sr Notes (EK0 acq 07/23/13)	A	Interest	K	T	Buy	07/23/13	K		
64. -- Chesapeake Energy Corp (CJ4 acq 07/23/13)	A	Interest	K	T	Buy	07/23/13	K		
65. -- Calif State Muni Bond (P97 acq 08/23/13)	A	Interest	K	T	Buy	08/23/13	K		
66. -- Zions Bank Corp Sub Notes (AV9 acq 10/16/13)	A	Interest	K	T	Buy	10/16/13	K		
67. -- Chesapeake Energy Corp (CD7 acq 10/17/13)	A	Interest	K	T	Buy	10/17/13	K		
68. -- Nations Bank Corp Sub Notes (AN9 acq 10/22/13)	A	Interest	K	T	Buy	10/22/13	K		

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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	
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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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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69. -- Telefonica Emisiones SAU Bond (AT2 acq 10/22/13)	A	Interest	K	T	Buy	10/22/13	K		
70. TD Ameritrade Amerivest Core Moderate ETF Fund (X)	A	Int./Div.	K	T					

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

- 1) Part VII: Differences between 2012 and 2013 for entries in Columns B (Income) and C (Gross Value) are due to market fluctuation in stock prices and interest/dividends.
- 2) Part VII: Entry 2: Was United Airline Stock. Column B(1) intentionally left blank because there was no income.
- 3) Part VII: Column D(4) intentionally left blank for the following entries because there was either a loss or no gain: 29, 30, 31, 32, 38, 51, 52, 53, 55, 56, and 57
- 4) Part VII: Entry 70 replaces entries 63 thru 72 of the prior year's report -- an investment that was incorrectly treated as a "managed asset account." The investment should have been treated as a "widely held investment fund." The assets of the fund are widely diversified, and we neither exercise control, nor have the ability to exercise control over the financial interests held by the fund.

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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 of Arthur L. Alarcon

NOTES: 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. § 501)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Room 9-401
One Columbus Circle, N.E.
Washington, D.C. 20544