

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Fletcher, William A.	2. Court or Organization US Court of Appeals 9th Circuit	3. Date of Report 04/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 95 Seventh Street, Suite 216 San Francisco, CA 94103		
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. Adjunct Professor	University of California, Berkeley, California
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. 01/07/77	University of California Pension (vested; no control)
2. 04/05/95	U.C. Berkeley Law School; Agreement to teach one course per academic year; salary within 15% guideline.
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

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. 2017	University of California Berkeley, Compensation for teaching	\$27,765.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Cornell University Law School	October 12-13, 2017	Itaca, NY	Empirical Legal Studies Conference	Food, room and travel for myself
2. American Law Institute	November 29-30, 2017	New York, NY	Restatement of the Law, The Law of American Indians	Food, room and travel for myself
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

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. Dreyfus California Tax Exempt Money Market	A	Interest			Sold	06/10/17	J	A	
2. S & P Depository Receipts (SPDR) SPY	A	Dividend	M	T					
3. Vanguard FTSE Developed Markets ETF VEA	A	Dividend	P3	T					
4. Vanguard Information Technology ETFVGT	A	Dividend	P3	T					
5. DFA California Short-Term Muni-Bond DFCMX	A	Interest	K	T					
6. DFA Emerging Markets Portfolio Institutional Class DFEMX	A	Dividend	K	T					
7. DFA International Small Cap Value Port DISVX	A	Dividend	J	T					
8. DFA International Small Company DFISX	A	Dividend	J	T					
9. DFA International Value DFIVX	A	Dividend	J	T					
10. DFA US Large Cap Value DFLVX	A	Dividend	K	T					
11. DFA US Micro Cap DFSCX	A	Dividend	K	T					
12. DFA US Small Cap DFSTX	A	Dividend	J	T					
13. DFA US Small Cap Value DFSVX	A	Dividend	K	T					
14. Pimco Foreign Bond Hedged PFORX	B	Interest	K	T					
15. Pimco Low Duration Fund PTLDX	B	Interest	L	T					
16. Pimco Real Return Fund PRRIX	A	Interest	J	T					
17. Vanguard Admiral CA Inter-Term Tax Exempt VCADX	B	Interest	L	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 = \$250,000.01 - \$500,000.00	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 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)

18. Vanguard FXD Inc Secs Inflt Prt Admrl VAIPX	A	Interest	L	T					
19. Vanguard Intermediate Term Tax Exempt VWIUX	B	Interest	K	T					
20. Vanguard Admiral Ltd Term Tax Exempt VMLUX	B	Interest	M	T					
21. Vanguard Short-Term Tax Exempt Bond Admrl ZWSUX	B	Interest	K	T					
22.									
23.									
24.									

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 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

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

(1) Part VII, line 6: DFA Emerging Markets Portfolio Institutional Class DFEMX was listed in the 2017 report, but was not listed in the 2016 report. The explanation is that this asset was purchased on December 15, 2016, but the purchase was mistakenly not recorded in the 2016 report.

(2) Part VII, line 19: Vanguard Intermediate Term Tax Exempt VWIUX was listed in the 2017 report, but was not listed in the 2016 report. The explanation is that the asset was purchased on September 30, 2016, but the purchase was mistakenly not recorded in the 2016 report.

(3) Part VII, line 20: DFA Emerging Markets Core Equity DFCEX was listed in the 2016 report, but was not listed in the 2017 report. The explanation is that the asset was sold on December 15, 2016, but the sale was mistakenly not recorded in the 2016 report.

This report was further amended on 4/10/19 to correct the INCOME entry in Section III.A., which was initially reported as \$28,050.00. The correct amount is \$27,765.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Fletcher, William A.

Date of Report

04/10/2019

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/ **William A. Fletcher**

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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