

**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) Fernandez, Ferdinand F.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 03/30/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 125 S. Grand Avenue, Suite 602 Pasadena, CA 91105		
IMPORTANT NOTES: <i>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>		

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

☒ **NONE** *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
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 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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.	West Publishing Co.	Books	\$1,184.88
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</u>	<u>CODE</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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. Accts. at Wells Fargo Bank	A	Interest	M	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T					
3. Accts. at Bank of America	A	Interest	L	T					
4. Accts. at Union Bank	B	Interest	L	T					
5. Accts. at Community Bank	B	Interest	L	T					
6. Accts. at California Bank and Trust	A	Interest	L	T					
7. Accts. at Pacific Western Bank	B	Interest	L	T					
8. Accts. at U.S. Bank	A	Interest	M	T					
9. Accts. at Community Commerce Bank	B	Interest	L	T					
10. Accts. at Bank of the West	A	Interest	L	T					
11. Accts. at Citizens Business Bank	A	Interest	L	T					
12. Accts. at Security Bank of California	A	Interest	L	T					
13. Acct. at Ally Bank	A	Interest			Open	02/09/11	L		
14. Acct. at Bank of China	A	Interest			Open	02/18/11	L		
15. Acct. at GE Money Bank	A	Interest			Closed	02/04/11	L		
16. Acct. at Mazrhi Tefahot Bank	A	Interest			Closed	02/18/11	L		
17. Am Fund Small Cap World C1 A	A	Dividend	J	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 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 = \$250,000.001 - \$500,000.000	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 \$5,000,000.000	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

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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)

18. Am. Fund Cap Income Builder; C1 A	B	Dividend	L	T					
19. Am. Fund New Economy C1 A	A	Dividend	J	T					
20. Income Fund of America C1 A	A	Dividend	K	T					
21. Am. Cap. Fund C1 A	A	Dividend	J	T					
22. Am. Fund Balanced Fund C1 A	A	Dividend	J	T					
23. Am Fund Capital World Growth Fund C1 A	A	Dividend	K	T					
24. Am Fund Euro Pacific Growth Fund C1 A	A	Dividend	K	T					
25. Am Fund Growth Fund C1 A	A	Dividend	K	T					
26. Am Fund, Inv. Co. of America C1 A	A	Dividend	J	T					
27. Am Fund New WOrld Growth Fund C1 A	A	Dividend	K	T					
28. Wash. Mut. Inv. Fund C1 A	B	Dividend	K	T					
29. Invesco Van Kampen Am. Franchise Fund C1 A (see Part VIII)	A	Dividend	K	T					
30. Invesco Van Kampen Am. Franchise Fund C1 A (See Part VIII)									
31. Invesco Van Kampen Real Estate Fund C1 A (See Part VIII)	A	Dividend	K	T					
32. Van Kampen Comstock Fund C1 A	A	Dividend	J	T					
33. Select Notes Trust Sec. LT #5	A	Interest	J	T					
34. GNMA Pool Cert.	A	Interest	J	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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)

35. U.S. T. Bills	A	Interest	K	T					
36. U.S. T. Bills	A	Interest	L	T					
37. U.S. T. Bills	A	Interest	K	T					
38. U.S. T. Bills	A	Interest	K	T					
39. U.S. T. Bills	A	Interest	K	T					
40. U.S. T. Bills	A	Interest	K	T					
41. U.S. T. Bills	A	Interest			Sold	10/6/11	K	A	
42. U.S. T. Bills	A	Interest			Sold	10/20/11	K	A	
43. U.S. T. Bills	A	Interest	N	T					
44. U.S. T. Bills	A	Interest	L	T					
45. U.S. T. Bills	A	Interest	L	T					
46. Trust #1; Income Beneficiary (Items 47-72)									
47. (a) Wells Fargo, Trustee									
48. (i) Wells Fargo Common Trust Funds and Cash	B	Int./Div.	L	T					
49. (ii) Vanguard REIT Viper	A	Dividend	J	T					
50. (iii) Vanguard REIT Viper	A	Dividend	J	T					
51. (iv)Pimco Foreign Bond Fund USD Hedged #103	A	Dividend	J	T	Buy	8/18/11	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 7 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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)
52. (v) Hussman Strategic Growth Fund	A	Distribution	J	T	Sold	10/21/11	J	A	
53. (vi) I Shares MSCI EAFE	A	Dividend	K	T					
54. (vii) I Shares Corporate Bond Fund	A	Dividend			Sold	2/10/11	J	A	
55. (viii) Vanguard Emerging Market ETF	A	Dividend	J	T					
56. (ix) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T					
57. (x) Dreyfus Emerging Mkts Debt Fund	A	Dividend	J	T					
58. (xi) AMEX Consumer SPDR	A	Dividend	J	T					
59. (xii) Consumer Staples Sec SPDR	A	Dividend	J	T					
60. (xiii) AMEX Energy Select SPDR	A	Dividend	J	T					
61. (xiv) AMEX Financial Select SPDR	A	Dividend	J	T					
62. (xv) AMEX Health Care SPDR	A	Dividend	J	T					
63. (xvi) AMEX Industrial SPDR	A	Dividend	J	T					
64. (xvii) AMEX Technology SPDR	A	Dividend	J	T					
65. (xviii) AMEX Materials SPDR	A	Dividend	J	T					
66. (xix) AMEX Utilities SPDR	A	Dividend	J	T					
67. (xx) I Shares S&P Midcap 400 Growth	A	Dividend	J	T					
68. (xxi) I Shares S&P Midcap 400 Value	A	Dividend	J	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 \$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 8 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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)
69. (xxii) I Shares TR Small Cap 600 Index	A	Dividend	J	T					
70. (xxiii) Diamond Hill Long-Short Fund C1.1	A	Dividend	J	T					
71. (xxiv) Merger FD SH BEN INT	A	Dividend	J	T					
72. (xxv) Credit Suisse Commodity Return Strat. Fund	A	Dividend	J	T					
73. (b) Real Propert in Clifton, AZ (trustee unknown)		None	J	W					

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 9 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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

Part VII, item 29, Invesco Van Kampen Am. Franchise Fund Cl A (formerly Van Kampen Enterprise Fund).

Part VII, item 30, Invesco Van Kampen Am. Franchise Fund Cl A (formerly Van Kampen Cap Growth Fund). See item 29 for items B and C, which has full post merger value.

Part VII, item 31, Invesco Van Kampen Real Estate Fund Cl A (formerly Van Kampen Real Estate Sec Fund).

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

03/30/2012

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/ **Ferdinand F. Fernandez**

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