

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Pregerson, Harry	2. Court or Organization United States Court of Appeals for Ninth Circuit	3. Date of Report 11/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 21800 Oxnard Street Suite 1140 Woodland Hills, Ca 91367		
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. Member		Marine Corps Reserve Officers Association
2. Member		Advisory Board, Childhelp USA
3. Member		Advisory Board of Directors, Metropolitan Division, The Salvation Army
4. Member		Board of Directors, Devil Pups, Inc
5. Member		Advisory Board, Foundation for Pierce College

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.	
2.	
3.	

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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. 2012	State of California Judge's Retirement System	\$17,387.00
2. 2012	Raymond James & Assoc - IRA	\$1,036.00
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. 2012	Los Angeles Community College District - Salary
2. 2012	CA Public Employees Retirement System
3. 2012	CA State Teachers Retirement System
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.				
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. Lot 59, Oxnard Shores, CA (1964)		None	O	W					
2. Lot 60, Oxnard Shores, CA (1964)		None	O	W					
3. Lot 88, Woodland Hills, CA		None	O	W					
4. Ltd Partnership Interest-Penn Cal Investors, Pittsburgh, PA	G	Rent	O	U					
5. CGM403(B) Custodian UIPL LA Community College (H)									
6. - CG Capital Markets Money Market Fund	A	Dividend	J	T					
7. - CG Capital Markets Core Fixed Income Fund	B	Dividend	K	T	Buy (add'l)	09/15/12	J		
8.					Sold (part)	08/24/12	K	B	
9.					Sold (part)	11/9/12	J	A	
10. - CG Capital Markets Lg Capital Value Investments	C	Dividend	M	T	Buy (add'l)	09/05/12	K		
11.					Sold (part)	08/24/12	J	B	
12. - CG Capital Markets Sm Capital Value Investments	B	Dividend	J	T	Buy (add'l)	09/05/12	J		
13.					Sold (part)	08/24/12	J	A	
14. - CG Capital Markets Emerging Markets Investments	B	Dividend	L	T	Buy (add'l)	09/05/12	K		
15.					Sold (part)	11/9/12	K	C	
16.					Sold (part)	08/24/12	J	A	
17. - CG Capital Markets International Fixed Income Investments	C	Dividend	L	T	Buy (add'l)	08/24/12	J		

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	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18.				T	Buy (add'l)	09/05/12	J		
19. - CG Capital Markets International Equity Investments	B	Dividend	L	T	Buy (add'l)	08/24/12	K		
20.				T	Buy (add'l)	09/05/12	J		
21.					Buy (add'l)	11/9/12	P4		
22. - CG Capital Markets Lg Cap Growth Investment	B	Dividend	M	T	Buy (add'l)	09/05/12	K		
23.				T	Buy (add'l)	11/09/12	J		
24.					Sold (part)	08/24/12	K	D	
25. - CG Capital Markets Sm Capital Growth Investments	B	Dividend	K	T	Buy (add'l)	08/24/12	J		
26.				T	Buy (add'l)	09/05/12	J		
27.				T	Buy (add'l)	11/09/12	J		
28. CG Capital markets High Yield Investments	A	Dividend	K	T	Buy	08/24/12	K		
29.				T	Buy (add'l)	09/05/12	J		
30.					Sold (part)	11/9/12	J	A	
31. Morgan Stanley A/C (H)									
32. Morgan Stanley Liquid Asset Fund, Inc.	A	Interest			Distributed	12/31/12	J		
33. Chase cash accounts	A	Interest	M	T					
34. - CG Capital Markets International Equity Investments	A	Dividend	L	T	Buy (add'l)	08/24/12	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	
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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35.				T	Buy (add'l)	11/09/12	K		
36. - CG Capital Markets Lg Cap Growth Investment	A	Dividend	M	T	Buy (add'l)	11/09/12	J		
37.					Sold (part)	08/24/12	K	D	
38. - Citicorp Trust Bank	A	Interest	J	T					
39. - Citibank NA South Dakota BDP	A	Interest			Redeemed	03/31/12	M		
40. - CG Capital Markets - Money Market	A	Interest	J	T					
41. - CG Capital Markets Core Fixed Income	B	Dividend	K	T	Sold (part)	08/24/12	J	A	
42.					Sold (part)	08/24/12	K	B	
43.					Sold (part)	11/9/12	J	A	
44. - CG Capital Markets Lg Capital Value Investments	B	Dividend	M	T	Sold (part)	8/24/12	J	B	
45. - CG Capital Markets Sm Capital Value Investments	A	Dividend	J	T	Sold (part)	08/24/12	J	A	
46. - CG Capital Markets Emerging Markets Investments	B	Dividend	L	T	Sold (part)	08/24/12	J	A	
47.					Sold (part)	11/9/12	J	B	
48. - CG Capital Markets International Fixed Income Investments	C	Dividend	K	T	Buy (add'l)	08/24/12	J		
49. - CG Capital Markets Sm Capital Growth Investments	A	Dividend	K	T	Buy (add'l)	08/24/12	J		
50. Bank of India NY CD	A	Interest	M	T	Buy	05/04/12	M		
51. Discover Bank Greenwood DE CD	A	Interest	M	T	Buy	05/04/12	M		

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52. CG Capital Markets High Yield Investments	B	Dividend	K	T	Buy	08/24/12	K		
53.					Sold (part)	11/9/12	J	A	
54. Ally Bank UT DTD -03-31-10	B	Interest			Redeemed	03/31/12	M		
55.									
56. Northern Trust (H)									
57. - MFO American Centy CA Tax-Free Bd Fd Inv	D	Dividend	N	T					
58. - MFB NTHN CA Mun Money Mkt	A	Interest	M	T					
59. Raymond James (H)									
60. Bank of China-NY Certificate of Deposit	A	Interest			Redeemed	01/09/12	M		
61. - JP Morgan Chase & Co. Notes	B	Interest	K	T					
62. - Microsoft Coporation Stock	A	Dividend	K	T					
63. - FHLM 2.5% Due 10/15/22	A	Interest			Redeemed	04/06/12	L		
64. - American Express MM	A	Interest	L	T					
65. - Seadrill Limited Corporate Stock	D	Dividend	L	T					
66. Regions Bank Money Market	A	Interest	M	T	Buy	07/01/12	M		
67. Raymond James Money Market	A	Interest	L	T	Buy	07/01/12	L		
68. Citibank Money Market	A	Interest	J	T	Buy	07/01/12	J		

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69. Raymond James IRA #1: Raymond James Bank	A	Dividend	J	T	Distributed (part)	12/7/12	J		
70. Raymond James IRA #2: Raymond James Bank	A	Interest	J	T	Distributed (part)	12/7/12	J		
71. Raymone James IRA #2: Seadrill Ltd Stock	A	Dividend	J	T	Buy	7/1/12	J		
72. Harry Pregerson 1996 Irrevocable Trust (H)									
73. - US Bank cash account	A	Interest	J	T					
74. - Janus Fund	A	Dividend	J	T					
75. Ing Direct - Orange Savings	A	Interest	M	T					
76. City National Bank (H)									
77. CD/Money Market	A	Interest	N	T					
78. - Checking Accts	A	Interest	J	T					
79. Janus Money Market Fund D	A	Int./Div.	N	T	Buy	7/1/12	N		
80. Wells Fargo Bank cash account	A	Interest	N	T					
81. Vanguard 403(B)7 A/C Total Bond Mkt Index Inv	B	Dividend	L	T					
82. Chase (H)									
83. JP Morgan Trust II Liquid Assets	A	Dividend	J	T					
84. SPDR S&P 500 ETF TR	A	Dividend	J	T					
85. Vanguard Sector Index Funds	A	Dividend	J	T	Buy	09/14/12	J		

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86. Blackrock Funds II US	A	Dividend	J	T	Sold (part)	03/13/12	J	A	
87. Delaware Group Emerging Market Funds	A	Dividend	J	T					
88. Federated Institutional High Yield Bond Fund	A	Dividend	J	T					
89. Goldman Sachs Emerging Market Debt Fund	A	Dividend	J	T					
90. Oakmark Fund	A	Dividend	J	T					
91. JP Morgan Trust I US Equity Fund Select Cl	A	Dividend	J	T					
92. JP Morgan Trust II Core Bond Fund Select Cl	A	Dividend	J	T	Sold (part)	05/22/12	J	A	
93. JP Morgan Trust I MidCap Equity Fund Select Cl	A	Dividend	J	T					
94. JP Morgan Trust II High Yield Select Cl	A	Dividend	J	T	Sold (part)	09/12/12	J	A	
95. JP Morgan Short Duration Bond Fund Select Cl	A	Dividend	J	T					
96. JP Morgan Trust I Int'l Value Fund Select Cl	A	Dividend	J	T					
97. JP Morgan Trust I Emerging Mkts Equity Fund Select	A	Dividend	J	T					
98. MFS Ser Tr X Emerging Market Debt Fund Class I	A	Dividend	J	T					
99. T Rowe Price New Income Fund Inc	A	Dividend	K	T	Sold (part)	05/22/12	J	A	
100. Thornburg Intl Value Fund Class I	A	Dividend	J	T					
101. JP Morgan Trust II--SUIEX	A	Dividend			Sold	09/12/12	J	A	
102. DWS Inst Funds	A	Dividend			Sold	09/12/12	J	A	

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103.									

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

Part VII, lines 80, 84, 85, 87-103 were inadvertently omitted on the 2011 financial disclosure report

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11/05/2013

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/ **Harry Pregerson**

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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Washington, D.C. 20544