

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) Ikuta, Sandra S.	2. Court or Organization Ninth Circuit	3. Date of Report 11/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	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. Court of Appeals - Ninth 125 South Grand Avenue Pasadena, California 91105		
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.	Trustee	Trust #1
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. 1997	O'Melveny & Myers Defined Benefit Plan with former law firm (no control)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

11/24/2014

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. The Federalist Society

2/10/13 to 2/11/13

Stanford, CA

Educational program

Transportation, food, and hotel

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

11/24/2014

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.	Bank of America	Mortgage on rental property, Agoura, CA	None
2.	Nationstar Mortgage, LLC	Mortgage on rental property, Agoura, CA	M
3.	Citimortgage	Mortgage on rental property, West Los Angeles, CA	L
4.	Union Bank	Mortgage on rental property, West Los Angeles, CA	M
5.	Union Bank	Mortgage on rental property, Santa Monica, CA	O
6.	City National Bank	Mortgage on rental property, Los Angeles, CA	L

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Ikuta, Sandra S.

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11/24/2014

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. Trust #1	F	Rent	P1	W					
2. - Rental property, Agoura, CA									
3. - 50% interest in rental property, Venice, CA									
4. - 50% interest in rental property, West Los Angeles, CA (Y)									
5. - 33% interest in rental property, Santa Monica, CA (Y)									
6. - Rental property, Los Angeles, CA (Y)									
7. IRA #1	D	Dividend	O	T					
8. - CNR Prime MM Fd Serv									
9. - CNR Corporate Bd Fd Serv Cl					Buy (add'l)	02/08/13	J		
10.					Buy (add'l)	10/03/13	J		
11.					Buy (add'l)	08/28/13	J		
12. - CNR Govt Bd Fd Serv Cl					Buy (add'l)	02/08/13	J		
13.					Buy (add'l)	10/03/13	J		
14. - CNR High Yield Bond Fund Serv					Sold (part)	08/02/13	J	A	
15.					Buy (add'l)	08/28/13	J		
16. - Doubleline Total Return Bond Fund					Sold (part)	08/02/13	J		
17.					Sold (part)	08/28/13	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 = \$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 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

11/24/2014

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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 I (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. - Eaton Vance Floating Rate Bond Fund Cl I					Sold	02/08/13	J	A	
19. - Eaton Vance Fl Rate Adv Fd Cl I					Buy	02/08/13	J		
20.					Buy (add'l)	08/28/13	J		
21. - Ivy High Income Fund Cl I					Sold (part)	08/02/13	J	A	
22.					Sold	08/28/13	K	A	
23. - Principal Preferred Securities Fund INSTL					Sold (part)	08/02/13	J	A	
24.					Sold	08/28/13	K		
25. - CNR US Core Equity Fd Ser					Buy (add'l)	08/02/13	J		
26.					Buy (add'l)	10/03/13	J		
27. - ING Global Real Estate Fund					Sold (part)	10/03/13	J	A	
28. - Oppenheimer Dev Markets Cl I					Buy (add'l)	08/02/13	J		
29. - PIMCO Commodity RR Strategy Instl					Buy (add'l)	10/03/13	J		
30.					Sold	10/25/13	J		
31. - Touchstone Small Cap Core Fund Y					Sold (part)	02/08/13	J	A	
32.					Buy (add'l)	08/02/13	J		
33. - Ishares Gold Trust Shs Bene Int					Sold	09/27/13	J		
34. - Ishares S&P US Preferred Stock Index Fund					Sold	08/06/13	J	A	

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

Ikuta, Sandra S.

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11/24/2014

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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)

35. - SPDR S&P Dividend ETF					Buy (add'l)	08/06/13	J		
36.					Buy (add'l)	08/30/13	J		
37.					Buy (add'l)	10/07/13	J		
38. - Vanguard FTSE Developed Markets ETF					Buy (add'l)	08/06/13	J		
39. - Market Vectors Emer H/Y Bd ETF					Buy	08/30/13	K		
40. - PIMCO Commodity Plus Strat Ins					Buy	10/25/13	J		
41. Brokerage Account #1 (H)									
42. Vanguard 500 Index Fund Inv	B	Dividend	L	T					
43. Vanguard Small Cap Index Fund Inv	A	Dividend	L	T					
44. American Funds VCSP/College America 529A	B	Dividend	L	T					
45. - Growth Fund of America					Distributed (part)	12/10/13	J	A	
46. - The Investment Company of America					Distributed (part)	12/10/13	J	A	
47. - Washington Mutual Investors Fund					Distributed (part)	12/10/13	J	A	
48. - The Bond Fund of America					Distributed (part)	12/10/13	J	A	
49. Brokerage Account #2 (H)									
50. CNR Calif Tax-Exempt Money Market	A	Interest	J	T					
51. CNR US Core Equity Fd Ser [REDACTED]	A	Dividend	K	T	Sold (part)	02/08/13	J	A	

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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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Ikuta, Sandra S.

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52.					Buy (add'l)	08/28/13	J		
53. CNR Calif Tax-Exempt Bd Fd Serv	C	Dividend	N	T	Sold (part)	02/08/13	J		
54. CNR High Yield Bond Fund Serv	B	Dividend	J	T	Sold (part)	08/28/13	J	A	
55. CNR Emerging Markets Fund	A	Dividend	J	T	Buy	08/28/13	J		
56. CNR Fixed Income Opportunities Fd. Cl (X)	A	Dividend	K	T					
57. CNR Dividend & Income Fd Cl N	A	Dividend	K	T	Buy	09/03/13	K		
58. SPDR S&P Dividend ETF	A	Dividend			Sold (part)	02/12/13	J		
59.					Sold	08/30/13	J	B	
60. Doubleline Total Return Bond Fd	A	Dividend	J	T	Sold (part)	08/28/13	J	A	
61.					Sold (part)	09/03/13	J	A	
62. Ivy High Income Fund Class I	B	Dividend	J	T	Sold (part)	08/28/13	J	A	
63. Touchstone Small Cap Core Fund Y	A	Dividend	J	T					
64. Pimco Commodity RR Strategy-Inst	A	Dividend			Sold	10/25/13	J		
65. Principal Preferred Securities INSTL	A	Dividend			Sold	08/28/13	K	A	
66. ING Global Real Estate Fund I	A	Dividend	J	T					
67. Ishares Gold Trust		None			Sold	09/27/13	J		
68. Oppenheimer Developing Mkt Cl I	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

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69. Eaton Vance Floating Rate Cl 1	A	Dividend			Sold	02/08/13	J	A	
70. Eaton Vance Fl Rate Adv Fd Cl 1	A	Dividend			Buy	02/08/13	J		
71.					Sold	08/28/13	J		
72. Vanguard FTSE Developed Markets ETF	A	Dividend	J	T					
73. Series EE U.S. Savings Bonds	A	Interest	J	T					
74. City National Bank Preferred Ladder Money Market	A	Interest	L	T					
75. ING Flexible Premium Adjustable Universal Life Insurance	C	Interest	L	T					
76. Japanese American Community Credit Union (X)	A	Int./Div.	J	T					
77. 50% interest in rental property, West Los Angeles, CA (X)	E	Rent	O	W					
78. 33% interest in rental property, Santa Monica, CA (X)	F	Rent	O	W					
79. Rental property, Los Angeles, CA (X)	E	Rent	O	W					
80. Rental Property #2, Los Angeles, CA (X)	D	Rent	O	W					
81. Wine collection (X)		None	K	W	Sold (part)	01/08/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

11/24/2014

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

Part VI, lines 3 & 4: the value code represents 100% of the mortgage, but the reportable interest in the property is 50%

Part VI, line 5: the value code represents 100% of the mortgage, but the reportable interest in the property is 33%

Part VII, lines 3, 77, and 78: income and value are calculated based upon the reportable interest in the properties

Part VII, line 7: IRA #2 in the prior report

Part VII, line 8: name change - formerly CNI Money Market

Part VII, line 9: name change - formerly CNI Charter Corporate Bond Servicing

Part VII, line 12: name change - formerly CNI Charter Gov't Bond Fund (lines 14 and 55 in 2012 report)

Part VII, line 14: name change - formerly CNI Charter High Yield Bond Fund

Part VII, line 16: same as line 21 of the prior report

Part VII, lines 25 and 51: name change - formerly CNI Charter US Core Equity Ser

Part VII, lines 38 and 72: name change - formerly Vanguard MSCI EAFE ETF

Part VII, line 42: same as line 77 of the prior report

Part VII, line 43: same as line 78 of the prior report

Part VII, line 50: name clarification - formerly CNI Money Market/CNI Charter CA Tax Exempt Money Market

Part VII, line 53: name change - formerly CNI Charter Cal Tx Exmpt Serv

Part VII, line 54: name change - formerly CNI Charter High Yld Bd Fd Inst

Part VII, line 55: name change - formerly CNI Emerging Markets Fund

Part VII, lines 67 and 81 - these assets did not generate income during the reporting period

Part VII, lines 128 and 130 of the prior report were sold in their entirety during 2012

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Ikuta, Sandra S.

Date of Report

11/24/2014

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/ **Sandra S. Ikuta**

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