| AO 10<br>Rev. 1/2012 |
|---|

# 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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Ikuta, Sandra S. | Ninth Circuit | 07/28/2012 |
| 4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) | 5a. Report Type (check appropriate type) | 6. Reporting Period |
| Circuit Judge | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>5b. ☐ Amended Report | 01/01/2011<br>to<br>12/31/2011 |
| 7. Chambers or Office Address | | |
| U.S. Court of Appeals - Ninth<br>125 South Grand Avenue<br>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. Insert signature on last page.***

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

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Trustee #1 | Trust #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. | 1997 | O'Melveny & Myers Defined Benefit Plan with former law firm, no control |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
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| Ikuta, Sandra S. | 07/28/2012 |

## 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.)*

| | DATE | SOURCE AND TYPE | INCOME (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.)*

| | DATE | SOURCE AND TYPE |
|---|---|---|
| 1. | 2011 | self-employment earnings, freelance photographer |
| 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.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | Cardozo Law School | 03/12/2011-03/14/2011 | New York, New York | Judging Moot Court competition | Transportation food, and hotel |
| 2. | The Federalist Society | 11/09/2011-11/13/2011 | Washington, D.C. | Speaker | Transportation, food and hotel |
| 3. | Alicia Frostick Shah | 09/30/2011-10/02-2011 | Traverse City, Michigan | Officiate at wedding | Transportation, food and hotel |
| 4. | | | | | |
| 5. | | | | | |

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| Ikuta, Sandra S. | 07/28/2012 |

## 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. | Bank of America | Mortgage on rental property, Agoura, California | M |
| 2. | Citimortgage | Mortgage on rental property, West Los Angeles, California | M |
| 3. | Union Bank | Mortgage on rental property, West Los Angeles, California | M |
| 4. | Union Bank | Mortgage on rental property, Santa Monica, California | O |
| 5. | City National Bank | Mortgage on rental property, Los Angeles, California | M |

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| Ikuta, Sandra S. | 07/28/2012 |

## 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 (1) Amount Code 1 (A-H) | (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (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. | ING Direct Accounts (cash equivalent) | A | Interest | J | T | | | | | |
| 2. | Bank of America | D | Interest | J | T | | | | | |
| 3. | Trust 1 | F | Rent | P1 | W | | | | | |
| 4. | -Rental Property, Agoura, California | | | | | | | | | |
| 5. | -50% interest in rental property, Venice, California | | | | | | | | | |
| 6. | -50% interest in rental property, W. Los Angeles, California | | | | | | | | | |
| 7. | -Investment property, Kulakai, Hawaii | | | | | Sold | 10/25/11 | N | | Eric Hamp, Theresa Gerry |
| 8. | -33% interest in rental property, Santa Monica, California | | | | | | | | | |
| 9. | -Rental property, Los Angeles, California (X) | | | | | | | | | |
| 10. | IRA#2 | D | Dividend | N | T | | | | | |
| 11. | -CNI Money Market | | | | | | | | | |
| 12. | -CNI Charter Lg Cap Val Eqty-Inst | | | | | Sold (part) | 08/11/11 | J | | |
| 13. | -CNI Charter Lge Cap Grwth-Inst | | | | | Sold (part) | 08/11/11 | J | | |
| 14. | | | | | | Sold (part) | 11/23/11 | J | | |
| 15. | -CNI Charter Corp Bond Fd-Instl | | | | | Sold (part) | 11/23/11 | L | | |
| 16. | -CNI Charter Govt Bd Fd-Instl Cl | | | | | Buy (add'l) | 11/22/11 | L | | |
| 17. | -CNI Charter High Yld Bd FD-Instl | | | | | Buy (add'l) | 11/22/11 | J | | |

| | | | | | |
|---|---|---|---|---|---|
| 1. Income Gain Codes: (See Columns B1 and D4) | 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 |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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| Ikuta, Sandra S. | 07/28/2012 |

## 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) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. Transactions during reporting period | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Place "(X)" after each asset exempt from prior disclosure | (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. -Dodge&Cox Intl Stk Fd | | | | | Buy | 08/09/11 | J | | |
| 19. -Eaton Vance Strct Em Mkt | | | | | Buy | 08/09/11 | J | | |
| 20. | | | | | Buy (add'l) | 11/23/11 | J | | |
| 21. -Royce Pen Mut Fd Invest Cl | | | | | Buy | 08/09/11 | J | | |
| 22. Brokerage Account #1 | | | | | | | | | |
| 23. -500 Index Fund Inv | B | Dividend | K | T | | | | | |
| 24. -Small-Cap Index Fund Inv | B | Dividend | K | T | | | | | |
| 25. American Funds VCSP/College America 529A | A | Dividend | L | T | | | | | |
| 26. -Growth Fund of America | | | | | | | | | |
| 27. -The Investment Company of America | | | | | | | | | |
| 28. -Washington Mutual Investors Fund | | | | | | | | | |
| 29. -The Bond Fund of America | | | | | | | | | |
| 30. Brokerage Account #2 | | | | | | | | | |
| 31. -Oppenheimer California Muni Class A Open End Fund | A | Dividend | | | Sold | 01/10/11 | J | A | |
| 32. -CNI Money Market Account | A | Dividend | J | T | | | | | |
| 33. -CNI Charter Lg Cap Val Eqty-Inst | A | Dividend | K | T | Sold (part) | 01/10/11 | J | A | |
| 34. -CNI Charter Lge Cap Gwth-Instl | A | Dividend | K | T | Sold (part) | 01/10/11 | J | B | |

| | | | | | |
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 35. | | | | | Sold (part) | 08/11/11 | K | | |
| 36. -CNI Charter Cal Tx Exmpt Insti | D | Dividend | N | T | Sold (part) | 01/10/11 | K | | |
| 37. | | | | | Sold (part) | 08/25/11 | J | | |
| 38. | | | | | Sold (part) | 12/20/11 | J | | |
| 39. -Dodge&Cox Intl Stock FD | A | Dividend | J | T | Buy | 08/09/11 | J | | |
| 40. -Eaton Vance Strct Em Mrkt | A | Dividend | J | T | Buy | 08/09/11 | J | | |
| 41. | | | | | Buy (add'l) | 11/23/11 | J | | |
| 42. -Royce Pen Mut FD Invest CL | A | Dividend | J | T | Buy | 08/09/11 | J | | |
| 43. -CNI Charter High Yld Bd Fd Instl | A | Dividend | K | T | Buy | 11/22/11 | J | | |
| 44. | | | | | Buy (add'l) | 11/23/11 | J | | |
| 45. Flexible Variable Universal Life Ins Incentive Life | A | Dividend | M | T | | | | | |
| 46. -Eq/ Common Stock Index | | | | | | | | | |
| 47. -EQ/Large Cap Value Plus | | | | | | | | | |
| 48. -Eq/Equity 500 Index | | | | | | | | | |
| 49. -EQ Mid Cap Value PLUS | | | | | | | | | |
| 50. -Eq/BlackRock Bsic Value Equity | | | | | | | | | |
| 51. -Eq/Black Rock International Value | | | | | | | | | |

| | | | | | |
| --- | --- | --- | --- | --- | --- |
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| 52. -EQ/Large Cap Growth Plus | . | | | | | | | | |
| 53. Series EE U.S. Savings Bonds | A | Interest | J | T | | | | | |

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

Part VI, Linex 2 &3: I have reported a value code for the entire mortgage amount, although I have only a 50% ownership interest.
Part VI, Line 4: I have reported a value code for the entire mortgage amount, although I have only a 33% ownership interest
Part VII, Lines 5 and 6: I have reported the gross value of my 50% interest.
Part VII, Line 8: I have reported the gross value of my 33% interest.

| Name of Person Reporting | Date of Report |
|---|---|
| Ikuta, Sandra S. | 07/28/2012 |

## 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/ 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