

**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) Fernandez, Ferdinand F.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/01/2013
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) <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <hr/> 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012

7. Chambers or Office Address

125 S. Grand Avenue, Suite 602
Pasadena, CA 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.	_____	_____
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.	_____	_____
2.	_____	_____
3.	_____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/01/2013

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> <i>(yours, not spouse's)</i>
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.)*

<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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/01/2013

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	\$1,215.00
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/01/2013

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 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	L	T					
2. Accts. at JP Morgan Chase	A	Interest	L	T						
3. Accts. at Bank of America	A	Interest	M	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	A	Interest	L	T						
10. Accts at Bank of the West	B	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	L	T						
14. Acct. at Bank of China	A	Interest	L	T						
15. Am Fund Small Cap World CI A	A	Dividend			Sold	05/15/12	J	C		
16. Am. Fund Cap Income Builder; CI A	B	Dividend	L	T						
17. Am. Fund New Economy CI A	A	Dividend	J	T						

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 I12=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
 3. Value Method Codes P3=\$25,000,001 - \$50,000,000 Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
 (See Column C2) U=Book Value V=Other W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/01/2013

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Income Fund of America CI A	A	Dividend	K	T					
19. Am. Cap. Fund CI A	A	Dividend	J	T					
20. Am. Fund Balanced Fund CI A	B	Dividend	L	T	Buy (add'l)	05/15/12	K		
21. Am Fund Capital World Growth Fund CI A	A	Dividend	K	T					
22. Am Fund Euro Pacific Growth Fund CI A	A	Dividend			Sold	05/15/12	K	C	
23. Am Fund Growth Fund CI A	A	Dividend	K	T					
24. Am Fund, Inv. Co. of America CI A	A	Dividend	J	T					
25. Am Fund New World Growth Fund CI A	A	Dividend			Sold	05/15/12	K	C	
26. Wash. Mut. Inv. Fund CI A	B	Dividend	K	T					
27. Invesco Van Kampen Am. Franchise Fund CI A	A	Dividend	K	T					
28. Invesco Van Kampen Real Estate Fund CI A	A	Dividend	K	T					
29. Van Kampen Comstock Fund CI A	A	Dividend	J	T					
30. Select Notes Trust Sec. LT #5	A	Interest	J	T					
31. GNMA Pool Cert.	A	Interest	J	T					
32. U.S. T. Bills	A	Interest	K	T					
33. U.S. T. Bills	A	Interest	L	T					
34. U.S. T. Bills	A	Interest			Sold	03/01/12	K	A	

- 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
- 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
- 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
- U=Book Value V=Other W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting Fernandez, Ferdinand F.	Date of Report 04/01/2013
--	------------------------------

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	K	T					
37. U.S. T. Bills	A	Interest	K	T					
38. U.S. T. Bills	A	Interest	K	T	Buy	05/1/12	K		
39. U.S. T. Bills	A	Interest	N	T					
40. U.S. T. Bills	A	Interest	L	T					
41. U.S. T. Bills	A	Interest	L	T					
42. Trust #1; Income Beneficiary (Items 43-69)									
43. (a) Wells Fargo, Trustee									
44. (i) Wells Fargo Common Trust Funds and Cash	B	Int./Div.	L	T					
45. (ii) Vanguard REIT Viper	A	Dividend	J	T					
46. (iii) Pimco Foreign Bond Fund USD Hedged #103	A	Dividend	J	T					
47. (iv) Hussman Strategic Growth Fund	A	Distribution	J	T	Buy	02/21/12	J		
48. (v) I Shares MSCI EAFE	A	Dividend	K	T					
49. (vi) Vanguard Emerging Market ETF	A	Dividend	J	T					
50. (vii) SPDR D.J. Wilshire Int'l. Real Estate	A	Dividend	J	T					
51. (viii) Dreyfus Emerging Mkts Debt Fund	A	Dividend	J	T					

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 P5=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

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting Fernandez, Ferdinand F.	Date of Report 04/01/2013
--	------------------------------

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.	(ix) AMEX Consumer SPDR	A	Dividend	J	T			
53.	(x) Consumer Staples Sec SPDR	A	Dividend	J	T					
54.	(xi) AMEX Energy Select SPDR	A	Dividend	J	T					
55.	(xii) AMEX Financial Select SPDR	A	Dividend	J	T					
56.	(xiii) AMEX Health Care SPDR	A	Dividend	J	T					
57.	(xiv) AMEX Industrial SPDR	A	Dividend	J	T					
58.	(xv) AMEX Technology SPDR	A	Dividend	J	T					
59.	(xvi) AMEX Materials SPDR	A	Dividend	J	T					
60.	(xvii) AMEX Utilities SPDR	A	Dividend			Sold	05/18/12	J	A	
61.	(xviii) I Shares S&P Midcap 400 Growth	A	Dividend	J	T					
62.	(xix) I Shares S&P Midcap 400 Value	A	Dividend	J	T					
63.	(xx) I Shares TR Small Cap 600 Index	A	Dividend	J	T					
64.	(xxi) Diamond Hill Long-Short Fund C1.1	A	Dividend	J	T					
65.	(xxii) Merger FD SH BEN INT	A	Dividend	J	T					
66.	(xxiii) Credit Suisse Commodity Return Strat. Fund	A	Dividend	J	T					
67.	(xxiv) Driehaus Active Income Fund	A	Dividend	J	T	Buy	08/20/12	J		
68.	(xxv) Gateway Fund-Y #1986	A	Dividend	J	T	Buy	08/20/12	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 I12 = 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 8 of 10

Name of Person Reporting Fernandez, Ferdinand F.	Date of Report 04/01/2013
--	------------------------------

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. (b) Real Property 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 \$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 9 of 10

Name of Person Reporting Fernandez, Ferdinand F.	Date of Report 04/01/2013
---	-------------------------------------

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Fernandez, Ferdinand F.

Date of Report

04/01/2013

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/ 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