AO 10
Rev. 1/2013

# 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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| BERZON, MARSHA S. | U.S. CA NINTH CIRCUIT | 05/15/2013 |

| 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 |
|---|---|---|
| U.S. CIRCUIT JUDGE - ACTIVE | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>5b. ☐ Amended Report | 01/01/2012 to 12/31/2012 |

**7. Chambers or Office Address**

95 SEVENTH STREET
P.O. BOX 1939393
SAN FRANCISCO, CA 94119-3939

***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.)*

| | 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. | | |

## 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. 2012 | UC HASTINGS COLLEGE OF THE LAW - TEACHING | $3,060.00 |
| 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. 2012 | SELF-EMPLOYED ATTORNEY |
| 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. | FORDHAM UNIVERSITY | 02/29/2012-03/04/2012 | NEW YORK, NY | EDUCATIONAL ACTIVITY | TRAVEL, LODGING, MEALS |
| 2. | UNIVERSITY OF TENNESSEE | 10/17/2012-10/19/2012 | KNOXVILLE, TN | EDUCATIONAL ACTIVITY | TRAVEL, LODGING, MEALS |
| 3. | AMERICAN UNIVERSITY WASHINGTON COLLEGE OF LAW | 10/19/2012-10/21/2012 | WASHINGTON, D.C. | EDUCATIONAL ACTIVITY | TRAVEL, LODGING, MEALS |
| 4. | STATE BAR OF CALIFORNIA | 11/02/2012-11/03/2012 | NEWPORT BEACH, CA | PROFESSIONAL ASSOCIATION ACTIVITY | TRAVEL, LODGING, MEALS |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| BERZON, MARSHA S. | 05/15/2013 |

## 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. | | | |

# FINANCIAL DISCLOSURE REPORT


| Name of Person Reporting | Date of Report |
|---|---|
| BERZON, MARSHA S. | 05/15/2013 |

## 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) | 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) |
| 1. BANK OF AMERICA ACCOUNTS | A | Interest | M | T | | | | | |
| 2. CITIBANK ACCOUNTS | B | Interest | O | T | | | | | |
| 3. FIRST REPUBLIC BANK ACCOUNTS | B | Interest | O | T | | | | | |
| 4. STERLING BANK & TRUST ACCOUNTS | C | Interest | N | T | | | | | |
| 5. UNION BANK ACCOUNTS | B | Interest | N | T | | | | | |
| 6. US BANK ACCOUNTS | A | Interest | O | T | | | | | |
| 7. COCA COLA COMPANY - COMMON STOCK | B | Dividend | L | T | | | | | |
| 8. COMCAST CORP NEW CL A - COMMON STOCK | A | Dividend | J | T | | | | | |
| 9. CORNING INC - COMMON STOCK | B | Dividend | L | T | | | | | |
| 10. FRONTIER COMMUNICATIONS - COMMON STOCK | A | Dividend | J | T | | | | | |
| 11. LSI CORPORATION - COMMON STOCK | | None | J | T | | | | | |
| 12. NSTAR - COMMON STOCK *1 | A | Dividend | | | | | | | |
| 13. NORTHEAST UTILITIES - COMMON STOCK (FORMERLY NSTAR) *1 | A | Dividend | J | T | | | | | |
| 14. PEPSICO INCORPORATED - COMMON STOCK | A | Dividend | K | T | | | | | |
| 15. PUB SVC ENT GROUP INC - COMMON STOCK | A | Dividend | J | T | | | | | |
| 16. VERIZON COMMUNICATIONS - COMMON STOCK | A | Dividend | K | T | | | | | |
| 17. VODAFONE GROUP NEW ADR F - COMMON STOCK | A | Dividend | J | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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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| BERZON, MARSHA S. | 05/15/2013 |

## 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 (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | D. (5) Identity of buyer/seller (if private transaction) |
|---|---|---|---|---|---|---|---|---|---|
| 18. DREYFUS ACTIVE MIDCAP FD | B | Dividend | M | T | | | | | |
| 19. DREYFUS APPRECIATION FUND | A | Dividend | K | T | | | | | |
| 20. DREYFUS OPPORTUNISTIC | | None | L | T | | | | | |
| 21. RS MID CAP OPPORTUNITIES FUND | | None | O | T | | | | | |
| 22. SCHWAB PREMIER EQUITY SELECT SHARES *2 | A | Dividend | | | | | | | |
| 23. SCHWAB CORE EQUITY FUND (FORMERLY SCHWAB PREM EQ SELECT) *2 | B | Dividend | M | T | | | | | |
| 24. TANAKA GROWTH FUND CL R | | None | K | T | | | | | |
| 25. SCHWAB CA MUNI MONEY FUND (SWEEP) | A | Dividend | L | T | | | | | |
| 26. SCHWAB CA MUNI MONEY FUND (NON-SWEEP) | A | Dividend | L | T | | | | | |
| 27. FIDELITY CA AMT TAX FREE MMKT INST CLASS | A | Dividend | P1 | T | | | | | |
| 28. VERISIGHT RETIREMENT ACCT. [redacted] (FORMER. ACCOUNTTRAX) *3 | E | Dividend | O | T | | | | | |
| 29. -AMERICAN FUNDS FUNDAMENTAL INVESTORS | | | | | | | | | |
| 30. -FIDELITY SPARTAN 500 INDEX FUND | | | | | Buy (add'l) | 04/10/12 | J | | |
| 31. -FIDELITY SPARTAN 500 INDEX FUND *4 | | | | | Sold | 08/28/12 | M | | |
| 32. -VANGUARD 500 INDEX FUND (SIG) *4 | | | | | Buy | 08/28/12 | M | | |
| 33. -VANGUARD TARGET RETIREMENT INCOME FUND (INV) | | | | | Buy (add'l) | 04/10/12 | J | | |

| | | | | | |
|---|---|---|---|---|---|
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| 34. | -VANGUARD TARGET RETIREMENT 2015 FUND (INV) | | | | | Buy (add'l) | 04/10/12 | J | | |
| 35. | -VANGUARD TARGET RETIREMENT 2025 FUND (INV) | | | | | Buy (add'l) | 04/10/12 | J | | |
| 36. | IRA #1 ([redacted] ACCOUNT) | C | Dividend | M | T | | | | | |
| 37. | -AMCAP FUND - CLASS A | | | | | | | | | |
| 38. | -WASHINGTON MUTUAL INVESTORS FUND - CLASS A | | | | | | | | | |
| 39. | IRA #2 | E | Dividend | P1 | T | | | | | |
| 40. | -AMERICAN FUNDS - EUROPACIFIC GROWTH FUND - CL A | | | | | | | | | |
| 41. | -AMERICAN FUNDS - THE GROWTH FUND OF AMERICA - CL A | | | | | | | | | |
| 42. | -AMERICAN FUNDS - NEW PERSPECTIVE FUND - CL A | | | | | | | | | |
| 43. | -AMERICAN FUNDS - CAPITAL WORLD GROWTH AND INCOME FUND - CL | | | | | | | | | |
| 44. | -AMERICAN FUNDS - FUNDAMENTAL INVESTORS - CL A | | | | | | | | | |
| 45. | -AMERICAN FUNDS - THE INVESTMENT COMPANY OF AMERICA - CL A | | | | | | | | | |
| 46. | -AMERICAN FUNDS - CAPITAL INCOME BUILDER - A | | | | | | | | | |
| 47. | -AMERICAN FUNDS - THE INCOME FUND OF AMERICA - CL A | | | | | | | | | |
| 48. | -AMERICAN FUNDS - AMERICAN BALANCED FUND - CL A | | | | | | | | | |
| 49. | [redacted] CAPITAL ACCOUNT IN LAW FIRM PARTNERSHIP *5 | A | Interest | K | U | | | | | |

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

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

*1 NSTAR MERGED WITH NORTHEAST UTILITIES ON APRIL 10, 2012.
*2 SCHWAB PREMIER EQUITY SELECT SHARES MERGED WITH SCHWAB CORE EQUITY FUND ON SEPTEMBER 7, 2012.
*3 ACCOUNTTRAX CHANGED ITS NAME TO VERISIGHT IN 2012.
*4 TRANSACTION OCCURRED DUE TO CHANGE IN THE MENU OF FUNDS OFFERED BY THE PLAN.
*5 THE EARNINGS REPORTED IN PART VII REPRESENT THE [redacted] DISTRIBUTIVE SHARE OF PARTNERSHIP INTEREST INCOME.

| Name of Person Reporting | Date of Report |
|---|---|
| BERZON, MARSHA S. | 05/15/2013 |

## 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/ MARSHA S. BERZON

**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