AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Fernandez, Ferdinand F.	Ninth Circuit Court of Appeals	04/22/2022
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**
United States Circuit Judge, Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/22/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1. Accts. at Wells Fargo Bank	A	Interest	M	T					
2. Accts. at JP Morgan Chase	A	Interest	M	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	A	Interest	M	T					
5. Accts. at California Bank and Trust	A	Interest	M	T					
6. Accts. at Pacific Western Bank	A	Interest	M	T					
7. Accts. at U.S. Bank	B	Interest	M	T					
8. Accts. at Community Commerce Bank	B	Interest	M	T					
9. Accts at Bank of the West	A	Interest	M	T					
10. Accts. at Citizens Business Bank	A	Interest	M	T					
11. Accts. at Pacific Premier Bank	A	Interest	M	T					
12. Acct. at Bank Hapoalim	A	Interest	L	T	Open	12/27/21	L		
13. Acct. at East West Bank	A	Interest	M	T					
14. Acct. at Pinnacle Bank [redacted]	B	Interest			Closed	04/21/21	M	A	
15. Accts. at Goldman Sachs Bank	B	Interest	N	T	Open	04/21/21	M		
16. Acct. at Bank of India	A	Interest	L		Closed	12/27/21	L	A	
17. Acct. at Westfield Bank [redacted].	A	Interest			Closed	09/24/21	M	A	

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
Fernandez, Ferdinand F.	04/22/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
18. Fidelity MMKT Cap. Reserves CL	A	Dividend	J	T					
19. Am. Fund Cap Income Builder; Cl A	D	Dividend	M	T					
20. Am. Fund New Economy Cl A	D	Dividend	K	T					
21. Income Fund of America Cl A	D	Dividend	M	T					
22. Same as 21					Buy (add'l)	03/09/21	L		
23. Am. Cap. Fund Cl A	D	Dividend	K	T					
24. Am. Fund Balanced Fund Cl A	E	Dividend	M	T					
25. Am Fund Growth Fund Cl A	E	Dividend	M	T					
26. Am Fund, Inv. Co. of America Cl A	C	Dividend	K	T					
27. Am. Wash. Mut. Inv. Fund Cl A	E	Dividend	M	T					
28. Invesco Am. Franchise Fund Cl A	E	Dividend	M	T					
29. Invesco Real Estate Fund Cl A	D	Dividend	L	T					
30. Invesco Comstock Fund Cl A	D	Dividend	K	T					
31. Select Notes Trust Sec. LT #5	B	Interest	J	T					
32. GNMA Pool Cert.	A	Interest	J	T					
33. Trust #1; Income Beneficiary, Wells Fargo, Trustee (Items 34-73)									
34. (a) Wells Fargo Cash	A	Interest	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	
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☐ NONE *(No reportable income, assets, or transactions.)*

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35. (b) Consumer Staples Sec SPDR	A	Dividend			Sold	02/26/21	J	B	
36. (c) Health Care Select Sec. SPDR	A	Dividend			Sold	02/26/21	J	C	
37. (d) AMEX Technology SPDR	A	Dividend			Sold	02/26/21	J	D	
38. (e) Fidelity New Markets Income Fund Class 1	A	Dividend	J	T	Buy (add'l)	02/25/21	J		
39. (f) Vanguard FTSE Developed Markets ETF	A	Dividend			Sold	02/26/21	J	B	
40. (g) Vanguard Intermediate Term B	A	Dividend			Sold	02/26/21	J	A	
41. (h) Eaton Vance Global Macro Absolute Return Adv. Fund-Class R6#1072	A	Dividend	J	T	Buy (add'l)	02/25/21	J		
42. (i) TCW Emrg Mkts Incm. 14721	A	Dividend	J	T	Buy (add'l)	02/25/21	J		
43. (j-i) I Shares Russell 2000 ETF	A	Dividend	K	T	Buy (add'l)	02/26/21	J		
44. (j-ii) Same as (j-i)					Sold (part)	06/10/21	J	A	
45. (j-iii) Same as (j-i)					Buy (add'l)	03/31/21	J		
46. (j-iv) Same as (j-i)					Sold (part)	12/16/21	J	A	
47. (k-i) I Shares Core MSCI Emerging Mks.	A	Dividend	K	T	Buy (add'l)	02/26/21	J		
48. (k-ii) Same as (k-i)					Sold (part)	06/30/21	J	A	
49. (k-iii) Same as (k-i)					Buy (add'l)	03/31/21	J		
50. (l-i) I Shares Core S&P Total US Stock Mkt. ETF	A	Dividend	K	T	Buy (add'l)	02/26/21	J		
51. (l-i cont.) Formerly: I Shares TRS and P 1500 Index Fd									

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
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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	
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52. (l-ii) Same as (l-i)					Sold (part)	03/31/21	J	A	
53. (l-iii) Same as (l-i)					Sold (part)	06/10/21	J	A	
54. (l-iv) Same as (l-i)					Buy (add'l)	12/16/21	J	A	
55. (m-i) Vanguard Midcap Viper	A	Dividend	K	T	Sold (part)	02/26/21	J	A	
56. (m-ii) Same as (m-i)					Sold (part)	03/31/21	J	A	
57. (n) I Share Core U.S. Aggregate	A	Dividend	K	T	Sold (part)	02/26/21	J	A	
58. (o) Principal High Yield - R6#4264	A	Dividend	J	T	Sold (part)	03/30/21	J	A	
59. (p-i) PGIM High Yield DQ #1067	A	Dividend	J	T	Buy (add'l)	02/25/21	J		
60. (p-ii) Same as (p-i)					Sold (part)	03/30/21	J	A	
61. (q-i) PIMCO High Yield FD - INST #108	A	Dividend			Buy (add'l)	02/25/21	J		
62. (q-ii) Same as (q-i)					Sold	03/30/21	J	A	
63. (r-i) I Shares MSCI USA Quality Factor	A	Dividend			Sold	06/10/21	J	C	
64. (s-i) Vanguard Dividend Appreciation	A	Dividend	J	T	Buy (add'l)	02/26/21	J		
65. (s-ii) Same as (s-i)					Sold (part)	03/31/21	J	A	
66. (s-iii) Same as (s-i)					Sold (part)	06/10/21	J	A	
67. (t) Invesco Optimum Yield Diversified	A	Dividend	J	T	Sold (part)	03/29/20	J	A	
68. (t - cont.) Formerly known as: PowerShares DB Optimum Yield Div.									

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	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)	
69.	(u-i) Goldman Active Beta U.S. Large Cap Equity	A	Dividend	J	T	Buy	02/26/21	J		
70.	(u-ii) Same as (u-i)					Sold (part)	06/10/21	J	A	
71.	(v-i) I Shares Core S&P Small Cap ETF	A	Dividend	J	T	Buy	03/31/21	J		
72.	(v-ii) Same as (v-i)					Sold (part)	06/10/21	J	A	
73.	(w) I Shares Core Total USD Bond Mkt EDF	A	Dividend	K	T	Buy	02/26/21	K		

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
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Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/22/2022

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

Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/22/2022

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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544