AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Fernandez, Ferdinand F.	Ninth Circuit Court of Appeals	04/28/2023
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	01/01/2022 **to** 12/31/2022
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.	04/28/2023

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 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)	
1. Accts. at Wells Fargo Bank	A	Interest	M	T					
2. Accts. at JP Morgan Chase	A	Interest	N	T					
3. Accts. at Bank of America	A	Interest	M	T					
4. Accts. at Union Bank	A	Interest			Closed	06/27/22	M	A	
5. Accts. at California Bank and Trust	A	Interest	L	T					
6. Accts. at Pacific Western Bank	B	Interest	M	T					
7. Accts. at U.S. Bank	A	Interest	M	T					
8. Accts. at Community Commerce Bank	A	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. Accts. at Bank Hapoalim	A	Interest	M	T					
13. Acct. at East West Bank	A	Interest	M	T					
14. Accts. at Texas Capital Bank, [redacted]	A	Interest	L	T	Open	07/07/22	L		
15. Accts. at Goldman Sachs Bank	B	Interest			Closed	10/20/22	M	A	
16. Acct. at BMO Harris Bank	A	Interest	L	T	Open	10/27/22	M		
17. Acct. at Bank of China.	A	Interest			Open	04/28/22	M		

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.	04/28/2023

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 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)	
18. (Same as 17)					Closed	10/28/22	M	A	
19. Fidelity MMKT Cap. Reserves CL	A	Dividend	J	T					
20. Am. Fund Cap Income Builder; Cl A	D	Dividend	M	T					
21. Am. Fund New Economy Cl A	D	Dividend	K	T	Buy (add'l)	01/25/22	J		
22. Income Fund of America Cl A	D	Dividend	M	T					
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	Buy (add'l)	01/25/22	K		
27. Am. Wash. Mut. Inv. Fund Cl A	F	Dividend	M	T					
28. Invesco Am. Franchise Fund Cl A	D	Dividend	M	T					
29. Invesco Real Estate Fund Cl A	C	Dividend	L	T					
30. Invesco Comstock Fund Cl A	D	Dividend	K	T					
31. Select Notes Trust Sec. LT #5	A	Interest	J	T					
32. GNMA Pool Cert.	A	Interest	J	T					
33. Trust #1; Income Beneficiary, Wells Fargo, Trustee (Items 35-96)									
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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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Fernandez, Ferdinand F.	04/28/2023

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)	
35. (b-i) Fidelity New Markets Income Fund Class 1	A	Dividend			Buy (add'l)	01/24/22	J		
36. (b-ii) same as (b-i)					Sold	04/25/22	J	A	
37. (c) Eaton Vance Global Macro Absolute Return Adv. Fund-Class R6#1072					Sold	01/20/22	J	A	
38. (d) TCW Emrg Mkts Incm. 14721	A	Dividend			Sold	04/25/22	J	B	
39. (e-i) I Shares Russell 2000 ETF	A	Dividend	J	T					
40. (e-ii) Same as (e-i)					Sold (part)	01/24/22	J	A	
41. (e-iii) Same as (e-i)					Sold (part)	04/26/22	J	A	
42. (f-i) I Shares Core MSCI Emerging Mks.	A	Dividend			Sold (part)	01/24/22	J	A	
43. (f-ii) Same as (f-i)					Sold (part)	04/26/22	J	A	
44. (f-iii) Same as (f-i)					Sold	04/26/22	J	A	
45. (g-i) I Shares Core S&P Total US Stock Mkt. ETF	A	Dividend	K	T	Buy (add'l)	04/26/22	J		
46. (g-ii) Same as (g-i)					Sold (part)	01/24/22	J	A	
47. (g-iii) Same as (g-i)					Sold (part)	06/16/22	J	A	
48. (h-i) Vanguard Midcap Viper	A	Dividend	K	T	Sold (part)	01/24/22	J	A	
49. (h-ii) Same as (h-i)					Buy (add'l)	04/26/22	J	A	
50. (i) I Share Core U.S. Aggregate	A	Dividend	L	T	Sold (part)	01/24/22	J	A	
51. (i-ii) Same as (i-i)					Sold (part)	06/16/22	J	A	

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52. (i-iii) Same as (i-i)					Buy (add'l)	04/26/22	J		
53. (i-iv) Same as (i-i)					Buy (add'l)	08/15/22	K		
54. (j) Principal High Yield - R6#4264					Sold	01/21/22	J	A	
55. (k-i) PGIM High Yield DQ #1067	A	Dividend	J	T	Buy (add'l)	01/24/22	J		
56. (k-ii) Same as (k-i)					Sold (part)	04/25/22	J	A	
57. (k-iii) Same as (k-i)					Sold (part)	06/11/22	J	A	
58. (k-iv) Same as (k-i)					Sold (part)	08/12/22	J	A	
59. (l-i) Vanguard Dividend Appreciation	A	Dividend	J	T	Buy (add'l)	04/26/22	J		
60. (l-ii) Same as (l-i)					Sold (part)	01/24/22	J	A	
61. (l-iii) Same as (l-i)					Sold (part)	08/15/22	J	A	
62. (m-i) Invesco Optimum Yield Diversified	A	Dividend	J	T	Sold (part)	01/24/22	J	A	
63. (m-ii) Same as (m-i)					Buy (add'l)	04/26/22	J		
64. (m-iii) Same as (m-i)					Buy (add'l)	08/15/22	J		
65. (n-i) Goldman Active Beta U.S. Large Cap Equity	A	Dividend	J	T	Buy (add'l)	01/24/22	J		
66. (n-ii) Same as (n-i)					Sold (part)	06/16/22	J	A	
67. (n-iii) Same as (n-i)					Buy (add'l)	04/26/22	J		
68. (n-iv) Same as (n-i)					Buy (add'l)	08/01/22	J		

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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)	
69.	(o-i) I Shares Core S&P Small Cap ETF	A	Dividend			Sold (part)	01/24/22	J	A	
70.	(o-ii) Same as (o-i)					Sold	04/26/22	J	A	
71.	(p-i) I Shares Core Total USD Bond Mkt EDF	A	Dividend	K	T	Buy (add'l)	01/24/22	J		
72.	(p-ii) Same as (p-i)					Buy (add'l)	04/26/22	J		
73.	(p-iii) Same as (p-i)					Buy (add'l)	08/15/22	J		
74.	(p-iv) Same as (p-i)					Sold (part)	06/16/22	J	B	
75.	(q-i) i Shares JP Morgan USD Emerging	A	Dividend	J	T	Buy	04/20/22	J		
76.	(q-ii) Same as (q-i)					Buy (add'l)	8/15/22	J		
77.	(r-i) Goldman Sachs Active Beta International Equity ETF	A	Dividend	J	T	Buy	01/24/22	J		
78.	(r-ii) Same as (r-i)					Buy (add'l)	08/15/22	J		
79.	(r-iii) Same as (r-i)					Sold (part)	06/16/22	J	A	
80.	(s-i) Goldman Active Beta Int ETF	A	Dividend	J	T	Buy	01/24/22	J		
81.	(s-ii) Same as (s-i)					Buy (add'l)	08/15/22	J		
82.	(s-iii) Same as (s-i)					Sold (part)	06/16/22	J	A	
83.	(t-i) i Shares Broad USD High Yield	A	Dividend			Buy	06/16/22	J		
84.	(t-ii) Same as (t-i)					Sold	08/15/22	J	A	
85.	(u-i) i Shares Core MSCI EAFE ETF	A	Dividend			Buy	06/16/22	J		

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86. (u-ii) Same as (u-i)					Sold	08/15/22	J	A	
87. (v-i) i Shares Core MSCI EAFE	A	Dividend			Buy	06/16/22	J		
88. (v-ii) Same as (v-i)					Sold	08/15/22	J	A	
89. (w-i) iShares Core S&P 500 ETF					Buy	06/16/22	J		
90. (w-ii) Same as (w-i)					Sold	08/15/22	J	B	
91. (x-i) i Shares Russell 1000 Value ETF	A	Dividend			Buy	01/24/22	J		
92. (x-ii) Same as (x-i)					Sold	04/26/22	J	A	
93. (y-i) Pimco Commodity Real Ret Strat	A	Dividend			Buy	01/24/22	J		
94. (y-ii) Same as (y-i)					Sold	04/25/22	J	A	
95. (z-i) Vanguard Total Bond Mkt ETF	A	Dividend			Buy	06/16/22	K		
96. (z-ii) Same as (z-i)					Sold	08/15/22	K	A	

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	U =Book Value	V =Other	W =Estimated		

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

Name of Person Reporting	Date of Report
Fernandez, Ferdinand F.	04/28/2023

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. § 13141 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. § 13106)

Committee on Financial Disclosure
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