

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Thomas, Sidney R.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 10/03/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (Active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address P.O. Box 31478 Billings MT 59107-1478		
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. Director	Ninth Circuit Historical Society
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 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2015

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. University of Montana School
of Law

March 25-26

Missoula MT

Deliver Browning Lecture

Transportation and Lodging

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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

Page 4 of 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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)
1. Northwest Billings Associates (Partnership)	A	Distribution	L	W					
2. Amer World Bond Fund f/k/a/ FDS Wash. Mut. Fund	A	Dividend	J	T					
3. UBS USA Deposit Account	A	Interest	J	T					
4. Davis New York Venture Fund	A	Dividend	J	T					
5. American Funds World Growth Fund Class F	A	Dividend	J	T					
6. American Funds Growth Fund Class F	A	Dividend	J	T					
7. American Funds Bond Fund F	A	Dividend	J	T					
8. Columbia Mid Cap Value Fund A	A	Dividend	J	T					
9. JP Morgan Mid Cap Value Fund	A	Dividend	J	T					
10. Nuveen Flagship Limited Term Mun Bond Fund	A	Dividend	J	T					
11. U.S. Bank Accounts	A	Interest	L	T					
12. Wells Fargo Account	A	Interest	J	T					
13. Real Property - Alfalfa County Oklahoma	A	Distribution	J	W					
14. Mineral Interest - Alfalfa County Oklahoma	D	Royalty	J	T					
15. Ishares North American Tech (IGN)	A	Dividend	L	T					
16. Vanguard Whitehall Funds High Dividend Yield (VYM)	B	Dividend			Sold	10/01/15	K	A	
17. SPDR S&P Midcap 400 ETF (MDY)	A	Dividend	K	T					

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 H ~\$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 ~\$250,000.01 - \$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 5 of 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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)

18. Vanguard Small Cap Growth (VBK)	A	Dividend			Sold	10/01/15	K	A	
19. Vanguard Growth (VUG)	A	Dividend	L	T					
20. Vanguard Bond Index Fundshort Term Bond ETF (BSV)	B	Dividend	M	T	Buy	10/01/15	L		
21. Ishares Tr Bond 1-3 Yr Credit Bond ETF (CSJ)	A	Dividend	M	T					
22. Janus Short Term BD (JASBX)	B	Dividend	M	T					
23. Powershs Exch Trad Fd (PKW)	A	Dividend			Sold	08/11/15	M	A	
24. Guggenheim ETF S&P 500 Equal Weight Index Fd (RSP)	B	Dividend	M	T					
25. Ishares TR Bond 1-3 Year Treas Bond ETF (SHY)	A	Dividend	M	T	Buy (add'l)	10/01/15	M		
26. SPDR S&P 500 ETF TR Expiring 1/22/2118 (SPY)	A	Dividend	M	T					
27. Wells Fargo Advtg Short Term Bd Inv (SSTBX)	A	Dividend	M	T					
28. Fidelity Intermediate (FLTIB)	A	Dividend	K	T	Buy	10/01/15	M		
29. Ishares Momentum (MTUM)	A	Dividend	M	T	Buy	11/24/15	M		
30. Schwab Foreign (SCHF)		None			Buy	04/30/15	M		
31. Schwab Foreign (SCHF)		None			Sold	09/04/15	M	A	
32. Schwab Midcap (SCHM)	A	Dividend			Buy	06/26/15	M		
33. Schwab Midcap (SCHM)	A	Dividend			Sold	10/01/15	M	A	
34. Vanguard Div Appreciation (VIG)	A	Dividend			Sold	06/25/15	K	A	

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	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 6 of 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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

This report does not contain listing of assets and property that are solely owned by my spouse or children. Those assets were not derived from my assets, income, or activities. I have no control over those assets. I possess no interest, income or benefit from any of the omitted assets, nor do I expect to receive any interest or benefit from them. I have no personal knowledge of the details of any of the omitted assets, except that it has been represented to me that none of the assets consist of common stocks.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Thomas, Sidney R.

Date of Report

10/03/2016

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/ **Sidney R. Thomas**

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