

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Owens, John B.	2. Court or Organization Ninth Circuit	3. Date of Report 07/31/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address Ninth Circuit Court of Appeals Edward Schwartz Courthouse 221 West Broadway, Suite 2193 San Diego, CA 92101		
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.	Trustee	Harker School
2.	Secretary/Board Member	
3.	Trustee	Trust #1
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 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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.		
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.	
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. Harker School	Jan 27, 2017	San Jose, CA	Board Meeting	Travel, meals
2. Harker School	Feb 8-9, 2017	San Jose, CA	Board Meeting	Travel, lodging, meals
3. Harker School	Mar 7, 2017	San Jose, CA	Board Meeting	Travel, meals
4. Pepperdine University	Mar 15-16, 2017	Malibu, CA	Judicial Clerkship Institute Panel	Travel, lodging
5. Harker School	May 1-2, 2017	San Jose, CA	Board Meeting, Urban Debate	Travel, lodging, meals
6. American Bar Association	May 4, 2017	San Francisco, CA	ABA Section Annual Conference	Travel, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting	Date of Report
Owens, John B.	07/31/2018

7.	Harker School	Aug 24, 2017	San Jose, CA	Board Meeting	Travel, meals
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FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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.			
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.	Northwestern Mutual Life Insurance Co.	Policy Loan	None
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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. Bank of America Checking Account	A	Interest	J	T					
2. Series I Savings Bonds	D	Interest	M	T					
3. Trust #1 (H)									
4. Morgan Stanley Bank NA (X)	A	Interest	K	T					
5. Northwestern Mutual Whole Life Insurance Policy #1	D	Dividend	O	T					
6. Northwestern Mutual Whole Life Insurance Policy #2	A	Dividend	K	T					
7. Mass Mutual Whole Life Insurance Policy	B	Dividend	K	T					
8. 401k #1 (H)									
9. Blackrock Liquidity Fund T Instl	A	Dividend	K	T					
10. Fidelity Equity Income Fund (FEQIX)	A	Dividend	K	T					
11. 529 #1 (H)									
12. Scholarshare 529 Passive Age Based 5-8	A	Int./Div.			Sold	12/20/17	M		
13. Scholarshare 529 Passive Age Based 9-10		None	L	T	Buy	12/20/17	M		
14. Scholarshare 529 Passive Age Based 11-12	A	Int./Div.			Sold	12/20/17	L		
15. Scholarshare 529 Passive Age Based 13-14		None	M	T	Buy	12/20/17	L		
16. BROKERAGE #1 (H)									
17. UBS (Cash Accounts)	A	Interest	N	T					32

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 \$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 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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. Ford Common Stock (F)	A	Dividend	J	T					
19. Home Depot Common Stock (HD)	A	Dividend	K	T					
20. McDonalds Common Stock (MCD)	A	Dividend	J	T					
21. Microsoft Common Stock (MSFT)	A	Dividend	K	T					
22. Walmart Common Stock (WMT)	A	Dividend	J	T					
23. BROKERAGE #2 (H)									
24. Artisan Mid Cap Value Fund (ARTQX)	A	Dividend			Sold	06/07/17	J	A	
25. Maingate MLP Fund (AMPLX)	A	Dividend			Sold	06/07/17	K	C	
26. Nuveen High Yield Municipal Bond Fund (NHMRX)	A	Dividend			Sold	06/07/17	K		
27. Royce Dividend Value Fund (RYDVX)	A	Dividend			Sold	06/07/17	J		
28. American Funds SMALLCAP World Fund Class F2 (SMCFX)	A	Dividend			Sold	06/07/17	J	B	
29. Thornburg International Value Fund (TGVAX)	A	Dividend			Sold	06/07/17	J		
30. Virtus Multi-Sector Short Term Bond Fund (PSTCX)	A	Dividend			Sold	06/07/17	L		
31. American Funds Growth Fund of America Class F2 (GFFFX)	C	Dividend	L	T	Sold (part)	06/07/17	J	C	9
32. The Investment Company of America Class F2 (ICAFX)	B	Dividend	L	T	Sold (part)	06/07/17	J	C	38
33. Angel Oak Income Fund (ANGLX)	C	Dividend	L	T	Buy (add'l)	06/07/17	K		
34. American Funds EuroPacific Growth Class F2 (AEPFX)	B	Dividend	K	T					

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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	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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Owens, John B.

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35. Franklin CA Interm Term Tx Fr Inc Adv (FRCZX)	C	Dividend	L	T	Buy	06/07/17	M		
36. IShares Core S&P MidCap ETF (IJH)	A	Dividend	K	T	Buy	06/07/17	K		
37. IShares Core S&P SmallCap ETF (IJR)	A	Dividend	K	T	Buy	06/07/17	K		
38. Janus Henderson Small Cap Val Fd Cl 1 (JSCOX)	B	Dividend	K	T	Buy	06/07/17	K		
39. Janus Henderson Global Eq Inc Fd Cl 1 (HFQIX)	B	Dividend	K	T	Buy (add'l)	06/07/17	J		37
40. JP Morgan Large Cap Growth Fund (OLGAX)	C	Dividend	K	T					
41. MFS Value Fund Class I (MEIIX)	B	Dividend	K	T					
42. American Funds New World Fund Class F2 (NFFFX)	A	Dividend	K	T	Buy (add'l)	06/07/17	K		
43. Oppenheimer Internatl Sm-Mid Co Fd Cl 1 Y (OSMYX)	A	Dividend	K	T	Buy	06/07/17	K		
44. Oppenheimer Sr Float Rate Fd Cl 1 Y (OOSYX)	B	Dividend	K	T	Buy	06/07/17	K		
45. Pioneer Strategic Income Fund (PSRAX)	B	Dividend	L	T	Buy (add'l)	06/07/17	J		
46. Principal Midcap Fund Class I (PEMGX)	A	Dividend	K	T	Buy	06/07/17	K		
47. BROKERAGE #3 (H)									
48. UBS (Cash Accounts)	A	Interest	K	T					32
49. IBM Common Stock (IBM)	A	Dividend	J	T					7
50. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					6
51. American Funds New World Fund Class A (NEWFX)	A	Dividend	J	T					26

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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	
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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Owens, John B.

Date of Report

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52. American Funds Smallcap World Fund Class A (SMCWX)	B	Dividend	L	T	Buy (add'l)	06/06/17	K		27
53. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	K	T					24
54. American Funds Fundamental Investors Fund Class A (ANCFX)	B	Dividend	K	T					22
55. American Funds Investment Company of America Class A (AIVSX)	A	Dividend	J	T	Sold (part)	06/06/17	K	B	23
56. American Funds Bond Funds of America Class A (ABNDX)	A	Dividend	K	T	Buy (add'l)	06/06/17	K		28
57. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T	Buy (add'l)	06/06/17	K		29
58. American Funds Growth Fund of America Class A (AGTHX)	C	Dividend	L	T					25
59. BROKERAGE #4 (H)									
60. UBS (Cash Accounts)	A	Interest	K	T					32
61. IBM Common Stock (IBM)	A	Dividend	J	T					7
62. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					6
63. American Funds Fundamental Investors Fund Class A (ANCFX)	B	Dividend	K	T	Sold (part)	06/06/17	J	C	22
64. American Funds Growth Fund of America Class A (AGTHX)	A	Dividend	K	T	Sold (part)	06/06/17	J	B	25
65. American Funds Bond Funds of America Class A (ABNDX)	A	Dividend	K	T	Buy (add'l)	06/06/17	J		28
66. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T	Buy (add'l)	06/06/17	K		29
67. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	K	T					24
68. American Funds New World Fund Class A (NEWFX)	A	Dividend	K	T	Buy (add'l)	06/06/17	J		26

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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69. American Funds Smallcap World Fund Class A (SMCWX)	B	Dividend	L	T	Buy (add'l)	06/06/17	J		27

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
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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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

Part VII of this report has been reformatted by account. Consequently, lines 6, 7, 22, 24-29, and 32 of the 2016 report correspond with two or more entries in the 2017 report. This is not indicative of reportable transactions.

Part VII, line 39: Name change; see 2016, line 37.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Owens, John B.

Date of Report

07/31/2018

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/ **John B. Owens**

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