

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) Owens, John B.	2. Court or Organization Ninth Circuit	3. Date of Report 05/11/2016
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 01/01/2015 to 12/31/2015
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.		
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.		

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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. Stanford Law School	12/2/2015	Stanford, CA	Bar Swearing Ceremony	Airfare, Rental Car, Commemorative Coin
2. University of Michigan Law School	4/13-4/15/2015	Ann Arbor, MI	Moot Court, Speech	Airfare, Hotel, Transportation to/from airport, Coffee Mug, Pin, Chocolate, Meals
3. University of Notre Dame Law School	10/8-10/10/2015	South Bend, IN	Speech, meetings with faculty and students	Airfare, Hotel, Meals, 4 football tickets, parking pass, basketball, 2 kids sweatshirts and 2 kids T-shirts
4. Harker School	4/23, 8/27, 10/7/2015	San Jose, CA	Board Meetings	Airfare, Car Rental, lunch
5.				

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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.	Cleveland Browns	2 football tickets, 2 pregame field passes, parking (estimated value)	\$500.00
2.	Notre Dame Law School	4 football tickets, 2 kids sweatshirts, 2 kids T-Shirts, parking pass, basketball	\$450.00
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.			
2.			
3.			
4.			
5.			

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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. Ford Common Stock	A	Dividend	J	T					
2. Home Depot Common Stock	A	Dividend	J	T					
3. McDonalds Common Stock	A	Dividend	J	T					
4. Microsoft Common Stock	A	Dividend	K	T					
5. Walmart Common Stock	A	Dividend	J	T					
6. Qualcomm Common Stock	A	Dividend	J	T					
7. IBM Common Stock	A	Dividend	J	T					
8. American Funds EuroPacific Growth Class F2	A	Dividend	K	T					
9. American Funds Growth Fund of America Class F2	A	Dividend	K	T					
10. American Funds New World Fund Class F2	A	Dividend	J	T					
11. American Funds SMALLCAP World Fund Class F2	A	Dividend	J	T					
12. Artisan Mid Cap Value Fund	A	Dividend	J	T					
13. Center Coast MLP Focus Fund Class 1	A	Dividend			Sold	12/09/15	K	A	
14. FFI Government Fund	A	Int./Div.	K	T					
15. Fidelity Equity Income Fund	A	Int./Div.	J	T					
16. JP Morgan Large Cap Growth Fund		None	K	T					
17. MFS Value Fund Class	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 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	

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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		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. Nuveen High Yield Municipal Bond Fund	B	Dividend	K	T					
19. Oppenheimer Developing Markets Fund	A	Dividend			Sold	12/09/15	K	A	
20. Oppenheimer International Bond Fund	A	Dividend			Sold	12/09/15	J	A	
21. Pioneer Strategic Income Fund	B	Dividend	K	T					
22. Royce Dividend Value Fund	A	Dividend	J	T					
23. Thornburg International Value Fund	A	Dividend	J	T					
24. Virtus Multi-Sector Short Term Bond Fund	A	Dividend	L	T					
25. American Funds Fundamental Investors Fund Class A	B	Dividend	L	T					
26. American Funds Investment Company of America Class A	A	Dividend	K	T					
27. American Funds Euro Pacific Growth Fund Class A	A	Dividend	L	T					
28. American Funds Growth Fund of America Class A	A	Dividend	L	T					
29. American Funds New World Fund Class A	A	Dividend	J	T					
30. American Funds Smallcap World Fund Class A	A	Dividend	K	T					
31. American Funds Bond Funds of America Class A	A	Dividend	L	T					
32. American Funds Capital World Bond Fund Class A	A	Dividend	K	T					
33. Scholarshare 529 Passive Age Based 5-8	A	Int./Div.	L	T					
34. Scholarshare 529 Passive Age Based 11-12	A	Int./Div.	M	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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35. UBS (Cash Accounts)	A	Interest	N	T					
36. Bank of America Checking Account	A	Interest	K	T					
37. Series I Savings Bonds	D	Interest	M	T					
38. Angel Oak Income Fund	A	Dividend	J	T	Buy	12/09/15	K		
39. Maingate MLP Fund	A	Dividend	K	T	Buy	12/09/15	K		
40. Henderson Global Equity Fund	A	Dividend	K	T	Buy	12/09/15	K		

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

Part VII -- Investments and Trusts. On May 16, 2014, I rolled over my Vanguard Target Retirement Fund into my Thrift Savings Plan. I erroneously omitted that transaction from my 2014 report.

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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
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