

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/9/2015
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 01/01/2014 to 12/31/2014
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	Federal Judges Association
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.		

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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. 2014	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federal Judges Association	May 2-6, 2014	Washington, D.C.	Board of Directors meeting and Quadrennial Conference	Transportation and partial lodging reimbursement
2.				
3.				
4.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Northwest Billings Associates (Partnership)	B	Distribution	L	W					
2. LKCM Fixed Income	B	Dividend			Sold	05/02/14	M	A	
3. LKCM Small Cap Equity		None			Sold	07/02/14	N	E	
4. LKCM Equity		None			Sold	07/02/14	N	G	
5. LKCM Growth Fund		None			Sold	05/05/14	N	F	
6. Amer World Bond Fund f/k/a/ FDS Wash. Mut. Fund	C	Dividend	J	T					
7. UBS USA Deposit Account	A	Interest	J	T					
8. Davis New York Venture Fund	B	Dividend	J	T					
9. American Funds World Growth Fund Class F	D	Dividend	J	T					
10. American Funds Growth Fund Class F	C	Dividend	J	T					
11. American Funds Bond Fund F	B	Dividend	J	T					
12. Columbia Mid Cap Value Fund A	A	Dividend	J	T					
13. JP Morgan Mid Cap Value Fund	C	Dividend	J	T					
14. Nuveen Flagship Limited Term Mun Bond Fund	B	Dividend	J	T					
15. U.S. Bank Accounts (X)	A	Interest	L	T					
16. Wells Fargo Account (X)	A	Interest	J	T					
17. Real Property - Alfalfa County Oklahoma (X)	A	Distribution	J	W					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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☐ 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 I (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. Mineral Interest - Alfalfa County Oklahoma (X)		None	J	W					
19. Ishares North American Tech (IGN)	A	Dividend	L	T	Buy	09/05/14	L		
20. Vanguard Whitehall Funds High Dividend Yield (VYM)	A	Dividend	K	T	Buy	12/18/14	K		
21. SPDR S&P Midcap 400 ETF (MDY)	A	Dividend	L	T	Buy	07/08/14	L		
22. Vanguard Small Cap Growth (VBK)	A	Dividend	L	T	Buy	07/08/14	L		
23. Vanguard Growth (VUG)	A	Dividend	L	T	Buy	07/08/14	K		
24. Vanguard Bond Index Fundshort Term Bond ETF (BSV)	B	Dividend	M	T	Buy	07/08/14	M		
25. Ishares Tr Bond 1-3 Yr Credit Bond ETF (CSJ)	A	Dividend	M	T	Buy	07/08/14	M		
26. Janus Short Term BD (JASBX)	B	Dividend	M	T	Buy	05/07/14	M		
27. Powershs Exch Trad Fd (PKW)	B	Dividend	M	T	Buy	05/09/14	M		
28. Guggenheim ETF S&P 500 Equal Weight Index Fd (RSP)	B	Dividend	M	T	Buy	07/24/14	M		
29. Ishares TR Bond 1-3 Year Treas Bond ETF (SHY)	A	Dividend	M	T	Buy	05/09/14	M		
30. SPDR S&P 500 ETF TR Expiring 1/22/2118 (SPY)	A	Dividend	M	T	Buy	07/24/14	M		
31. Wells Fargo Advtg Short Term Bd Inv (SSTBX)	A	Dividend	M	T	Buy	05/07/14	M		
32. Vanguard Div Appreciation (VIG)	C	Dividend	M	T	Buy	05/09/14	M		
33. Ishares MSCI Emerg Mkt ETF (EEM)		None			Buy	07/08/14	L		
34. Ishares MSCI Emerg Mkt ETF (EEM)		None			Sold	12/15/14	K	A	

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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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35. First Trust ISE Nat Gas Index Fund (FCG)		None			Buy	08/18/14	K		
36. First Trust ISE Nat Gas Index Fund (FCG)		None			Sold	08/26/14	K	C	

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

This report does not contain listing of assets and property that are solely owned by [REDACTED]. 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.

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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/ 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
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