

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Graber, Susan P.	2. Court or Organization U.S. Court of Appeals 9th Circuit	3. Date of Report 06/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address The Pioneer Courthouse 700 SW 6th Ave Portland OR 97204		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1988	Oregon Public Employee's Retirement Systems (PERS) with former employer when I was a state court judge. (Statutorily defined benefits, no control)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	PERS retirement pension	\$29,651.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Portland General (retirement income)
2. 2018	IRA distribution
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Law Institute	05/20/18-05/23/18	Washington DC	Professional association meeting	partial payment of travel, lodging, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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. Charles Schwab Cash Reserves #1 (See Part VIII)	A	Interest	J	T					
2. Oregon Savings Growth Plan		None	K	T					
3. Family Farm LLC - tax assessment dated 3/26/2014 (\$207,000)	C	Distribution	M	S					
4. IRA #1(H)									
5. --Vanguard Short-Term Bond Index Fund (VBISX)	D	Dividend	O	T	Buy (add'l)	04/04/18	K		
6.					Buy (add'l)	10/22/18	L		
7.					Buy (add'l)	10/23/18	L		
8. --Vanguard 500 Index Fund (VFINX)	C	Dividend	J	T	Buy (add'l)	01/05/18	L		
9.					Sold (part)	01/19/18	L		
10.					Sold (part)	02/06/18	L		
11.					Buy (add'l)	08/28/18	M		
12.					Sold (part)	10/22/18	L		
13.					Sold (part)	12/19/18	L		
14.					Sold (part)	12/27/18	L		
15. --Vanguard Mid-Cap Index Fund (VIMSX)	B	Dividend	J	T	Sold (part)	01/30/18	L		
16.					Sold (part)	12/27/18	L		
17. --Vanguard Total Stock Market Fund (VTSMX)	A	Dividend			Sold (part)	01/30/18	M		

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	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Graber, Susan P.

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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 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.					Sold	04/03/18	M		
19. --Schwab Cash Reserves bank sweep account	A	Dividend	N	T	Distributed (part)	01/23/18	M		
20.					Distributed (part)	04/30/18	K		
21.					Distributed (part)	07/20/18	L		
22. --Schwab Value Advantage Money Market fund	D	Dividend	N	T	Buy (add'l)	10/19/18	L		
23. --Schwab ST Bond Index Fund (SWSBX)	A	Dividend			Sold (part)	01/19/18	K		
24.					Sold	04/03/18	K		
25. --Vanguard Euro Stk Index Fund (VEURX)	C	Dividend			Buy	01/31/18	M		
26.					Sold	08/27/18	M		
27. IRA # 2 (H)									
28. --Schwab US Treasury Money Fund	A	Dividend			Sold (part)	01/09/18	K		
29.					Buy (add'l)	02/01/18	L		
30.					Buy (add'l)	02/08/18	M		
31.					Distributed (part)	06/28/18	J		
32.					Sold	07/11/18	M		
33. --Vanguard Prime Cap Core Fund	D	Dividend	J	T	Sold (part)	01/30/18	M		
34.					Sold (part)	12/19/18	K		

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 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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35.					Sold (part)	12/27/18	K		
36. --Vanguard Total Stock Market Fund (VTSMX)	A	Dividend			Sold (part)	01/30/18	K		
37.					Sold (part)	02/06/18	M		
38.					Sold	04/03/18	K		
39. --Vanguard Index 500 (VFINX)	B	Dividend	J	T	Buy (add'l)	01/08/18	K		
40.					Sold (part)	04/03/18	M		
41.					Buy (add'l)	08/27/18	L		
42.					Sold (part)	12/27/18	L		
43. --Schwab Value Advantage Fund	D	Dividend	O	T	Buy (add'l)	04/04/18	M		
44. --Schwab ST Bond Fund (SWSBX)	A	Dividend			Sold	04/03/18	L		
45. --Vanguard Euro Stock Index (VEURX)	B	Dividend			Sold	10/22/18	K		
46. -- Vanguard Explorer Value Fund	A	Dividend			Sold (part)	12/19/18	K		
47.					Sold	12/27/18	J		
48. --Vanguard Small Cap Value Index (VISVX)	A	Dividend			Buy	01/31/18	K		
49.					Sold	12/19/18	K		
50. --Vanguard Total Intl Stk Index Fund (VGTSX)	B	Dividend			Buy	01/31/18	L		
51.					Sold	10/25/18	K		

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 \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Graber, Susan P.

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52. --Vanguard ST Bond Index Fund Investor (VBISX)	B	Dividend	M	T	Buy	04/04/18	L		
53.					Buy (add'l)	10/23/18	K		
54. --Vanguard Interim Term Trsy Fd (VFITX)	A	Dividend	K	T	Buy	10/26/18	K		
55. --Schwab Bank sweep account	A	Interest	N	T	Distributed (part)	11/12/18	K		
56.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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

Part VII, line 1: The Charles Schwab Cash Reserve funds are cash-equivalent funds.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Graber, Susan P.

Date of Report

06/07/2019

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/ Susan P. Graber**

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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