

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) Thomas, Sidney R.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 05/07/2019
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 01/01/2018 to 12/31/2018
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.	

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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. 2018	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.				
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.)*

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.		

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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)	A	Distribution	L	W					
2. Amer World Bond Fund	A	Dividend			Sold	10/30/18	J	A	
3. UBS USA Deposit Account	A	Interest	J	T					
4. Davis New York Venture Fund (DNVYX)	A	Dividend			Sold	10/30/18	J	A	
5. American Funds World Growth Fund Class F2 (WGIFX)	A	Dividend			Sold	10/30/18	J	C	
6. American Funds Growth Fund Class F2 (GFFFX)	A	Dividend			Sold	10/30/18	J	C	
7. American Funds Bond Fund F (BFWFX)	A	Dividend			Sold	10/30/18	J	A	
8. Columbia Mid Cap Value Fund A (NAMAX)	A	Dividend			Sold	10/30/18	J	A	
9. JP Morgan Mid Cap Value Fund (JMVSX)	A	Dividend			Sold	10/30/18	J	B	
10. Nuveen Flagship Limited Term Mun Bond Fund (FLTRX)	A	Dividend			Sold	10/30/18	J	A	
11. Tax Exempt Bond Fund of America Clas F2 (TEAFX)	A	Dividend			Sold	10/30/18	J	A	
12. AB Intermediate Muni Fund	A	Dividend	J	T	Buy	10/30/18	J		
13. AB Large Cap Growth Fund (APGYX) (Non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
14. American Funds Euro Pacific Growth Fund (AEPFX)	A	Dividend	J	T	Buy	10/30/18	J		
15. American Funds New World Fund (NFFFX) (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
16. American Funds Small Cap World Fund (SMCFX) (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
17. Blackrock High Yield Muni Fund (BHYIX)	A	Dividend	J	T	Buy	10/30/18	J		

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 (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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18. Columbia Strategic Muni Income Fund	A	Dividend	J	T	Buy	10/30/18	J		
19. Delaware Value Fund (DDVIX) (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
20. Lord Abbett Floating Rate Fund (LFRFX) (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
21. Nuveen Short Duration High Yield Muni Fund	A	Dividend	J	T	Buy	10/30/18	J		
22. Pimco Stocks Plus Int Fund (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
23. Vanguard Mid-Cap Index Fund (VIMAX) (non-IRA Investment Account)	A	Dividend	J	T	Buy	10/30/18	J		
24. Victory Shares 500 Enhanced Vol ETF (non-IRA Account)	A	Dividend			Buy	10/30/18	J		
25. Victory Shares 500 Enhanced Vol ETF (non-IRA Account)	A	Dividend			Sold	11/13/18	J	A	
26. Vanguard S&P 500 ETF (VOO)	A	Dividend	J	T	Buy	10/30/18	J		
27. Wisdom Tree US Small Cap Earnings Fund ETF(EES) (non-IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
28. AB Large Cap Growth Fund (APGYX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
29. American Funds New World Fund (NFFFX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
30. American Funds Small Cap World Fund (SMCFX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
31. Blackrock High Yield Bond Fund (MAYHX)	A	Dividend	J	T	Buy	10/30/18	J		
32. Delaware Value Fund (DDVIX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
33. Lord Abbett Floating Rate Fund (LFRFX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
34. Lord Abbett Short Duration Income Fund	A	Dividend	J	T	Buy	10/30/18	J		

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35. Lord Abbett Ultra Short Bond Fund (LUBFX)	A	Dividend	J	T	Buy	10/30/18	J		
36. Pimco Income Fund	A	Dividend	J	T	Buy	10/30/18	J		
37. Pimco Stocks Plus Int Fund (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
38. Vanguard Mid-Cap Index Fund (VIMAX) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
39. Victory Shares 500 Enhanced Vol ETF (IRA Account)	A	Dividend			Buy	10/30/18	J		
40. Victory Shares 500 Enhanced Vol ETF (IRA Account)	A	Dividend			Sold	11/13/18	J	A	
41. Wisdom Tree US Small Cap Earnings Fund ETF(EES) (IRA Account)	A	Dividend	J	T	Buy	10/30/18	J		
42. U.S. Bank Accounts	A	Interest	M	T					
43. Wells Fargo Account	A	Interest	K	T					
44. Real Property - Alfalfa County Oklahoma	A	Distribution	K	W					
45. Mineral Interest - Alfalfa County Oklahoma	C	Royalty	J	T					
46. Ishares Edge MSCI USA Quality Factor ETF (QUAL)	B	Dividend	M	T					
47. Vanguard Large Cap ETF IV (VV)	D	Dividend			Sold	05/02/18	M	E	
48. Ishares Small Cap 600 (IIS)	A	Dividend	K	T					
49. Vanguard Value (VTV)	C	Dividend			Sold	12/17/18	M	E	
50. Ishares Core S&P 500 (IVV)	C	Dividend	M	T					
51. Vanguard Growth (VUG)	B	Dividend	M	T					

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52. Vanguard Utilities (VPU)	A	Dividend	J	T	Buy	11/16/18	J		
53. Janus Short Term BD (JABX)	B	Dividend	K	T	Buy	05/07/18	K		
54. Wells Fargo Advtg Short Term Bd Inv (SSTVX)	A	Dividend	K	T	Buy	05/07/18	K		
55. Vanguard Short Term Treasury (VGSH)	A	Dividend	M	T	Buy	11/15/18	M		
56. Vanguard Short Term Bond Index (VBISX)	D	Dividend	N	T	Buy	01/05/18	N		
57. Schwab Govt Money Fund (SNVXX)	A	Dividend			Buy	01/04/18	J		
58. Schwab Govt Money Fund (SNVXX)	A	Dividend			Sold	11/16/18	J	A	
59. SPDR S&P Biotech ETF IV (XBI)	A	Dividend			Buy	01/11/18	L		
60. SPDR S&P Biotech ETF IV (XBI)	A	Dividend			Sold	04/04/18	L	A	
61. Schwab US Treas Money Fund (SWUXX)	B	Dividend			Buy	01/05/18	M		
62. Schwab US Treas Money Fund (SWUXX)	B	Dividend			Sold	12/17/18	M	A	
63. SPDR BLMBRG BRCLY INV ETF (FLRN)	B	Dividend			Buy	05/07/18	M		
64. SPDR BLMBRG BRCLY INV ETF (FLRN)	B	Dividend			Sold	11/14/18	M	A	

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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.

In Part VII, several funds are listed twice because they were purchased for separate investment accounts. These investments are differentiated as "non-IRA Account" or "IRA Account." These investments include AB Large Cap Growth (lines 13 and 28); American Funds New World (lines 15 and 29); Delaware Value Fund (19 and 32), Lord Abbett Floating Rate Fund (lines 20 and 33), Pimco Stocks Plus Inv Fund (lines 22 and 33); Vanguard Mid-Cap Index Fund (lines 23 and 38), Victory Shares 500 Enhanced ETF (lines 24-25 and 39-40); and Wisdom Tree US Small Cap Fund (lines 27 and 41).

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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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Washington, D.C. 20544