

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Christen, Morgan B.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 605 West 4th Avenue, Suite 252 Anchorage, Alaska 99501		
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	The Foraker Group
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. 2012	Alaska State Employee Accounts (Judicial Retirement, 457 Plan, 401(a) Plan); no control
2. 2001	Preston Gates & Ellis Retirement Savings (with former law firm); no control
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. 2016	Alaska Permanent Fund Dividend	\$1,022.00
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.)*

DATE	SOURCE AND TYPE
1. 2016	
2. 2016	Alaska Permanent Fund Dividend
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.	UC IRVINE MOOT COURT COMPETITION	JANUARY 31, 2016 - FEBRUARY 2, 2016	IRVINE, CALIFORNIA	JUDGE MOOT COURT COMPETITION	TRANSPORTATION, FOOD, AND LODGING
2.	NORTHWESTERN UNIVERSITY, MINER MOOT COURT COMPETITION	MARCH 3, 2016 - MARCH 5, 2016	CHICAGO, ILLINOIS	JUDGE MOOT COURT COMPETITION	TRANSPORTATION, FOOD, AND LODGING
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.	Merrill Lynch	Credit Line	M
2.	Northrim Bank	Credit Line	M
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. ASB Accounts (cash)	A	Interest	J	T					
2. Wells Fargo Accounts (cash)	A	Interest	J	T					
3. True North Federal Credit Union (cash)	A	Interest	J	T					
4. ████████ Accounts (cash)	A	Interest	J	T					
5. American Century International Discovery	A	Dividend	L	T					
6. American Funds, Growth Fund of America		None	M	T					
7. Cepheid		None			Sold	11/07/16	J	C	
8. Brandes International Equity Fund	A	Dividend	K	T					
9. Columbia Value & Restructuring Fund-Z	B	Dividend	K	T					
10. Fidelity Retirement Money Market Portfolio		None	M	T					
11. Prime Plus Investments, Inc.	A	Dividend	J	T					
12. Vanguard European Stock Index Fund	B	Dividend	M	T					
13. Vanguard Health Care Fund	A	Dividend	L	T					
14. Vanguard Institutional Index Fund		None	N	T					
15. Vanguard Limited-Term Tax Exempt Fund	A	Dividend	J	T					
16. ████████ Account		None	M	T					
17. HEWM VI Investment Fund - no control		None	J	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 \$5,000,000	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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☐ 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. HEWM VIII Investment Fund - no control		None	J	T					
19. HEWM XII Investment Fund - no control		None	J	T					
20. HEWM XV Investment Fund - no control		None	K	T					
21. Venture Law Group Invst. 2004 - no control	B	Dividend	J	T					
22. Venture Law Group Invst. 2005 - no control	C	Dividend	K	T					
23. Venture Law Group Invst. 2006 - no control	C	Dividend	J	T					
24. Venture Law Group Invst. 2007 - no control	C	Dividend	J	T					
25. Investment Property # 1, Nelson, NZ		None	N	W					
26. Investment Property # 2, Blaine, WA		None	K	W					
27. Investment Property # 3, Blaine, WA		None	M	W					
28. Investment Property # 4, Leonard, MN		None	M	W					
29. Investment Property #5, Blaine, WA		None	M	W					
30. Rental Property # 1, Blaine, WA	D	Rent	M	W					
31. Rental Property # 2, Blaine, WA	E	Rent	M	W					
32. Rental Property # 4, Bellingham, WA	C	Rent	M	W					
33. Retirement Plan - no control	F	Int./Div.	P1	T					
34. Northwestern Mutual - whole life policy #1	A	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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35. Northwestern Mutual - whole life policy #2	A	Dividend	K	T					
36. New York Life - whole life policy #1	C	Dividend	L	T					
37. New York Life - whole life policy #2	A	Dividend	L	T					
38. Brokerage Acct #1 (H)									
39. Bank of America (cash)	A	Interest	J	T					
40. Merrill Lynch Bank Deposit Program (cash)	A	Interest	J	T					
41. Deutsche X-Trackers MSCI EAFE Hedged Equity ETF	B	Dividend	L	T	Sold (part)	01/12/16	J		
42. Deutsche X-Trackers MSCI Emerging Markets Hedged Equity ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
43. First TR Large Cap Value Opportunities Alphadex	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
44. First TR Small Cap Core Alphadex Fd.	A	Dividend	K	T	Sold (part)	01/12/16	J		
45. First TR Mid Cap Core Alphadex Fd.	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
46. First TR Emerging Markets Alphadex Fu	A	Dividend	J	T	Buy (add'l)	01/12/16	J		
47. First TR Emerging Markets	A	Dividend	J	T	Buy (add'l)	01/12/16	J		
48. Flexshares Morningstar Global Upstream Nat Res Index Fd.	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
49. Guggenheim S&P 500 Equal Weight ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
50. Guggenheim S&P Mid Cap 400 Equal weight ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
51. IQ Global Resources ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		

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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	
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52. IQ Hedge Multi-Strat Tracker ETF	A	Dividend	K	T	Sold (part)	01/12/16	J		
53. iShares 1-3 yr. Treasury Bond ETF	A	Dividend	J	T	Sold (part)	01/12/16	J		
54. iShares MSCI ACWI ETF		None			Sold	01/12/16	L		
55. Oppenheimer Rev. Weighted Trust Mid Cap Rev. ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
56. Oppenheimer Rev. Weighted Trust Small Cap Rev. ETF	A	Dividend	J	T	Sold (part)	01/12/16	J		
57. Oppenheimer Rev. Weighted Trust Large Cap Rev. ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
58. PowerShares FTSE RAFI US 150	A	Dividend	K	T	Sold (part)	01/12/16	J		
59. PowerShares FTSE RAFI Develo	B	Dividend	K	T	Buy (add'l)	01/12/16	J		
60. Proshares Hedge Replication ETF		None	K	T	Sold (part)	01/12/16	J		
61. SPDR S&P 500 ETF Trust		None			Sold	01/12/16	M		
62. Vanguard REIT ETF	A	Dividend	J	T	Sold (part)	01/12/16	J	B	
63. Vanguard FTSE Emerging Markets ETF	A	Dividend	J	T	Buy (add'l)	01/12/16	J		
64. Wisdomtree Midcap Earnings	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
65. FT Unit 5940 S&P Target	A	Dividend	K	T	Buy	01/12/16	K		
66. FT Unit 5940 Value Line Target	A	Dividend	K	T	Buy	01/12/16	K		
67. FT 5940 S&P Target SMID	A	Dividend	K	T	Buy	01/12/16	K		
68. Invesco Unit TRS Unit 1617 Select S&P Core	A	Dividend	K	T	Buy	01/12/16	K		

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69. Invesco Unit TRS Unit 1617 Select S&P INDL	A	Dividend	K	T	Buy	01/12/16	K		
70. Invesco Unit TRS Unit 1617 EAFE Select Port	A	Dividend	K	T	Buy	01/12/16	K		
71. IQ US Real Estate Small	A	Dividend	J	T	Buy	01/12/16	J		

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

Part VII Line 50: Corporate name change; see line 50 of the 2015 report.

Part VII Line 63: Corporate name change; see line 69 of the 2015 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/ Morgan B. Christen

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