

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 07/27/2020
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 01/01/2019 to 12/31/2019
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.	

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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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	PERS retirement pension	\$30,243.00
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. 2019	Portland General (retirement income)
2. 2019	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. University/Law School	04//11/19 - 04/13/19	Berkeley, CA	Professional association meeting	travel expenses
2. ALI Advisers Meeting	09/19/19 - 09/21/19	Philadelphia, PA	Professional association meeting	travel expenses
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	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 3/25/19 (\$250,290)	D	Distribution		S					
4. IRA #1(H)									
5. --Vanguard Short-Term Bond Index Fund (VBISX)	B	Dividend			Sold	02/04/19	O		
6. --Vanguard 500 Index Fund (VFIAX) previously (VFINX)	C	Dividend	M	T	Buy (add'l)	01/31/19	K		
7.					Buy (add'l)	02/28/19	L		
8. --Vanguard Mid-Cap Index Fund (VIMAX) previously (VIMSX)	B	Dividend	M	T	Buy (add'l)	01/31/19	L		
9.					Buy (add'l)	07/08/19	K		
10. --Schwab Cash Reserves bank sweep account	A	Dividend	K	T	Distributed (part)	04/24/19	L		
11. --Schwab Value Advantage Money Market fund	D	Dividend	M	T	Sold (part)	07/05/19	L		
12.					Sold (part)	12/09/19	M		
13. --Vanguard High Div Yield (VHYAX) previously (VHDYX)	B	Dividend	L	T	Buy	02/07/19	K		
14. --Vanguard Intrm Term (VFICX)	A	Dividend	L	T	Buy	12/17/19	K		
15. --Vanguard S/T Investment (VFSTX)	A	Dividend	L	T	Buy	12/17/19	L		
16. --Vanguard ST Treasury (VXBSX)	D	Dividend	N	T	Buy	02/05/19	O		
17.					Sold (part)	02/27/19	L		

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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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)
18. IRA # 2 (H)									
19. --Vanguard Prime Cap Core Fund (Y)									
20. --Vanguard Index 500 (VFIAX) previously (VFINX)	C	Dividend	M	T	Buy (add'l)	01/31/19	L		
21.					Buy (add'l)	07/05/19	L		
22. --Schwab Value Advantage Fund	D	Dividend	M	T	Sold (part)	09/18/19	J		
23.					Sold (part)	11/06/19	J		
24.					Sold (part)	12/09/19	N		
25. --Vanguard ST Bond Index Fund Investor (VBISX)	A	Dividend			Sold	02/04/19	M		
26. --Vanguard Interm Term Trsry Fd (VFITX)	A	Dividend			Sold	02/05/19	K		
27. --Vanguard High Div Yield Index (VHYAX) previously (VHDYX)	C	Dividend	M	T	Buy	02/04/19	K		
28.					Buy (add'l)	02/27/19	K		
29. --Vanguard Interm Term Investment (VFICX)	B	Dividend	M	T	Buy	02/05/19	K		
30.					Buy (add'l)	12/17/19	L		
31. --Vanguard S/T Investment (VFSTX)	A	Dividend	N	T	Buy	12/17/19	M		
32. --Vanguard ST Trsry (VSBSX)	C	Dividend	M	T	Buy	02/05/19	M		
33. --Schwab Bank sweep account	A	Interest	J	T	Distributed (part)	09/19/19	K		
34.					Distributed (part)	11/07/19	J		

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

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

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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/ 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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