

**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) Thomas, Sidney R.	2. Court or Organization Ninth Circuit Court of Appeals	3. Date of Report 04/27/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address P.O. Box 31478 Billings MT 59107-1478		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

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.)*

DATE

PARTIES AND TERMS

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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. UBS USA Deposit Account	A	Interest	J	T					
3. AB Intermediate Muni Fund (AIDYX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
4.					Buy (add'l)	08/15/19	J		
5. AB Large Cap Growth Fund (APGYX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
6.					Buy (add'l)	08/15/19	J		
7. American Funds Euro Pacific Growth Fund (AEPFX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
8.					Buy (add'l)	08/15/19	J		
9. American Funds New World Fund (NFFFX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
10.					Buy (add'l)	08/15/19	J		
11. American Funds Small Cap World Fund (SMCFX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
12.					Buy (add'l)	08/15/19	J		
13. Blackrock High Yield Muni Fund (BHYIX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
14.					Sold (part)	08/15/19	J	A	
15. Columbia Strategic Muni Income Fund (CATZX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
16.					Buy (add'l)	08/15/19	J		
17. Delaware Value Fund (DDVIX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	B	

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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☐ 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)
18.					Sold (part)	06/19/19	J	D	
19. Lord Abbett Floating Rate Fund (LFRFX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
20.					Sold (part)	08/15/19	J	C	
21. Nuveen Short Duration High Yield Muni Fund (NVHIX)(Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
22.					Sold (part)	08/15/19	J	B	
23. Pimco Stocks Plus Int Fund (PIUHX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
24.					Buy (add'l)	08/15/19	J		
25. Vanguard Mid-Cap Index Fund (VIMAX) (Investment Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
26.					Buy (add'l)	08/15/19	J		
27. Vanguard S&P 500 ETF (VOO) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
28.					Sold (part)	08/15/19	J	A	
29. Wisdom Tree US Small Cap Earnings Fund ETF(EES) (Investment Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
30.					Sold (part)	04/26/19	J	C	
31. JP Morgan Equity Income Fund (HLIEX) (Investment Account)	A	Dividend	J	T	Buy	06/19/19	J		
32.					Buy (add'l)	08/15/19	J		
33. Tax Exempt Bond Fund of America (TEAFX) (Investment Account)	A	Dividend	J	T	Buy	08/15/19	J		
34. Lord Abbott Ultra Short Bond (LUBFX) (Investment Account)	A	Dividend	J	T	Buy	04/26/19	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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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)
35.					Sold (part)	08/15/19	J	D	
36. Vangaurd Small Cap Index Fund (VSMAX) (Investment Account)	A	Dividend	J	T	Buy	06/19/19	J		
37.					Buy (add'l)	08/15/19	J		
38. AB Large Cap Growth Fund (APGYX) (IRA Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
39.					Buy (add'l)	08/15/19	J		
40. American Funds New World Fund (NFFFX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
41.					Buy (add'l)	08/15/19	J		
42. American Funds Small Cap World Fund (SMCFX) (IRA Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
43.					Buy (add'l)	08/15/19	J		
44. Blackrock High Yield Bond Fund (MAYHX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
45.					Sold (part)	08/15/19	J	A	
46. Delaware Value Fund (DDVIX) (IRA Account)	A	Dividend	J	T	Sold (part)	06/19/19	J	D	
47. Lord Abbett Floating Rate Fund (LFRFX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
48.					Sold (part)	08/15/19	J	C	
49. Lord Abbett Short Duration Income (LDLFX) Fund (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
50.					Sold (part)	08/15/19	J	B	
51. Lord Abbett Ultra Short Bond Fund (LUBFX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		

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		
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	(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)
52.					Sold (part)	08/15/19	J	C	
53. Pimco Income Fund (PIMIX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
54.					Buy (add'l)	08/15/19	J		
55. Pimco Stocks Plus Int Fund (PIUHX) (IRA Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
56.					Buy (add'l)	08/15/19	J		
57. Vanguard Mid-Cap Index Fund (VIMAX) (IRA Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
58.					Buy (add'l)	08/15/19	J		
59. Wisdom Tree US Small Cap Earnings Fund ETF (EES) (IRA Account)	A	Dividend	J	T	Buy (add'l)	04/26/19	J		
60.					Sold (part)	06/19/19	J	C	
61. Alpha Centric Income Opportunities (IOFAX) Fund (IRA Account)	A	Dividend	J	T	Buy	08/15/19	J		
62. Amer Funds Europacific Growth Fund (AEPFX) (IRA Account)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
63.					Buy (add'l)	08/15/19	J		
64. JP Morgan Core Bond Fund (PGXOX) (IRA Account)	A	Dividend	J	T	Buy	08/15/19	J		
65. JP Equity Income Fund (OIEIX) (IRA Account)	A	Dividend	J	T	Buy	06/19/19	J		
66.					Buy (add'l)	08/15/19	J		
67. Vanguard S&P 500 Fund EFT (VOO) (IRA Account)	A	Dividend	J	T	Buy	04/26/19	J		
68.					Sold (part)	08/15/19	J	A	

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
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69. Vanguard Small Cap Index Fund (VSMAX) (IRA Account)	A	Dividend	J	T	Buy	06/19/19	J		
70.					Buy (add'l)	08/15/19	J		
71. U.S. Bank Accounts	A	Interest	M	T					
72. Wells Fargo Account	A	Interest	K	T					
73. Real Property - Alfalfa County Oklahoma	A	Distribution	K	W					
74. Mineral Interest - Alfalfa County Oklahoma	C	Royalty	J	T					
75. Ishares Edge MSCI USA Quality Factor ETF (QUAL) (Second IRA Account)	C	Dividend	M	T					
76. Ishares Small Cap 600 (IJS) (Second IRA Account)	B	Dividend	L	T					
77. Ishares Core S&P 500 (IVV) (Second IRA Account)	C	Dividend	M	T					
78. Vanguard Value (VTV) (Second IRA Account)	B	Dividend	M	T	Buy	12/12/19	M		
79. Vanguard Dividend Appreciation (VIG) (Second IRA Account)	B	Dividend	M	T	Buy	04/29/19	N		
80. Vanguard Growth (VUG) (Second IRA Account)	B	Dividend	M	T					
81. Vanguard Utilities (VPU) (Second IRA Account)	B	Dividend	J	T					
82. Janus Short Term BD (JABX) (Second IRA Account)	B	Dividend	K	T					
83. Wells Fargo Advtg Short Term Bd Inv (SSTVX) (Second IRA Account)	B	Dividend	K	T					
84. Vanguard Short Term Treasury (VGSH) (Second IRA Account)	C	Dividend	M	T					
85. Vanguard Short Term Bond Index (VBISX) (Second IRA Account)	C	Dividend	N	T					

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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86. Vanguard Large Cap ETF IV (VV) (Second IRA Account)	D	Dividend	N	T					
87. Schwab Govt Money Fund (SNVXX) (Second IRA Account)	C	Dividend	M	T	Buy	07/26/19	M		
88. Ishares Core SP500 (Second IRA Account)	A	Dividend			Buy	05/31/19	L		
89.					Sold	06/14/19	L	C	

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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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 my spouse or children. 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 in separate investment accounts. These investments are differentiated as "Investment Account," "IRA Account," or "Second IRA Account."

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544