

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) Christen, Morgan B.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 05/11/2020
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 01/01/2019 to 12/31/2019
7. Chambers or Office Address 605 West 4th Avenue 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.)

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. 2012	Alaska State Employee Accounts (Judicial Reirement, 457 Plan, 401(a) Plan); no control
2. 2001	Preston Gates & Ellis Retirement Savings (with former law firm); no control
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/11/2020

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	Alaska Permanent Fund Dividend	\$1,606.00
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	Self employed [REDACTED]
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.	Rasmuson Foundation	August 2-3, 2019	Silver Salmon, Alaska	Meeting of non-profit leaders	Transportation (part), lodging
2.	Rhodes Scholarship Committee	November 21-23 2019	Seattle, Washington	Selection of Rhodes Scholarship Recipient	Transportation, meals
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Christen, Morgan B.	05/11/2020

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 8

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/11/2020

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. Individual Assets (H)									
2. ASB Accounts (cash)	A	Interest	J	T					
3. Wells Fargo Accounts (cash)	A	Interest	J	T					
4. True North Federal Credit Union (cash)	A	Interest	K	T					
5. ████████ Accounts (cash)	A	Interest	N	T					
6. T. Rowe Price Retirement 2025		None	O	T					
7. American Century International Discovery (TWEGX)		None			Sold	03/22/19	L		
8. American Century International Opportunities (AIOIX)	A	Dividend	M	T	Buy	03/22/19	L		
9. Brandes International Equity Fund		None	K	T					
10. Columbia Contrarian Fund	B	Dividend	K	T					
11. Prime Plus Investments, Inc.	A	Dividend	J	T					
12. Seven Peaks Venture Fund		None	L	T	Buy (add'l)	04/19/19	K		
13. Vanguard European Stock Index Fund (VEUSX)	B	Dividend	L	T					
14. Vanguard Health Care Fund (VGHAX)	D	Dividend	L	T					
15. Vanguard Limited-Term Tax Exempt Fund (VMLTX)	A	Dividend	J	T					
16. Vanguard Federal Money Market Fund (X) (Y)									
17. Vanguard Target Retirement 2020 Investor Cl. (VTWNX)	E	Dividend	O	T	Buy	04/16/19	O		

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 5 of 8

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/11/2020

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. ☐ Capital Account		None	M	T	Buy (add'l)	01/01/19	K		
19. ☐ Retirement Plan (no control)	G	Int./Div.	P1	T					
20. HEWM VI Investment Fund (no control)		None	J	T					
21. HEWM XII Investment Fund (no control)		None	J	T					
22. HEWM XV Investment Fund (no control)		None	K	T					
23. Venture Law Group Invst. 2004 (no control)		None	J	T					
24. Venture Law Group Invst. 2005 (no control)		None	K	T					
25. Venture Law Group Invst. 2006 (no control)		None	J	T					
26. Venture Law Group Invst. 2007 (no control)	D	Distribution	J	T					
27. Endeavor Capital Fund	A	Distribution	K	T					
28. Investment Property # 1, Nelson, NZ		None	N	W					
29. Investment Property # 2, Blaine, WA		None	K	W					
30. Investment Property # 3, Blaine, WA		None	M	W					
31. Investment Property # 4, Leonard, MN		None	M	W					
32. Investment Property #5, Blaine, WA		None	M	W					
33. Rental Property # 1, Blaine, WA	D	Rent	M	W					
34. Rental Property # 2, Blaine, WA	E	Rent	M	W					

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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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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. Rental Property # 3, Bellingham, WA	C	Rent	M	W					
36. Northwestern Mutual - whole life policy #1	A	Dividend	K	T					
37. Northwestern Mutual - whole life policy #2	A	Dividend	K	T					
38. New York Life - whole life policy #1	C	Dividend	M	T					
39. New York Life - whole life policy #2	A	Dividend	M	T					
40. Brokerage Acct #1 (H)									
41. Merrill Lynch Bank Deposit Program (cash) (Y)									

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting	Date of Report
Christen, Morgan B.	05/11/2020

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/11/2020

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
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