

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) Owens, John B.	2. Court or Organization United States Court of Appeals, Ninth Circuit	3. Date of Report 07/08/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge	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 Ninth Circuit Court of Appeals Edward Schwartz Courthouse 221 West Broadway San Diego, CA 92101		
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. Trustee	Harker School
2. Director	
3. Trustee	Trust #1
4. Member	Stanford Law School Board of Visitors
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.	

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.	
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. Harker School	4/9/19	San Jose, CA	Board Meeting	Mileage
2. Harker School	5/10/19	San Jose, CA	Board Meeting	Mileage
3. Harker School	5/23/19	San Jose, CA	Board Meeting	Mileage
4. Harker School	8/21/19	San Jose, CA	Board Meeting	Mileage
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. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	J	T					
3. Series I Savings Bonds	D	Interest	M	T					
4. Trust #1 (H)									
5. Northwestern Mutual Whole Life Insurance	D	Dividend	P1	T					
6. Mass Mutual Universal Life Insurance Policy	B	Dividend	M	T					
7. 401k #1 (H)									
8. Blackrock Liquidity Fund T Instl	A	Dividend	K	T					
9. Fidelity Equity Income Fund (FEQIX)	A	Dividend	K	T					
10. 529 # 1 (H)									
11. Scholarshare 529 Passive Age Based 11-12 (Formerly 9-10)		None	M	T					
12. Scholarshare 529 Passive Age Based 15 (Formerly 13-14)		None	M	T					
13. BROKERAGE #1 (H)									
14. UBS Bank USA Deposit Acct (cash)	A	Interest	L	T					
15. US Treasury Bill Matures 04/09/20 (912796TQ2)		None	L	T	Buy	10/10/19	L		
16. Ford Common Stock (F)	A	Dividend	J	T					
17. Home Depot Common Stock (HD)	A	Dividend	K	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 =\$250,000,001 - \$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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Name of Person Reporting

Owens, John B.

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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. McDonalds Common Stock (MCD)	A	Dividend	J	T					
19. Microsoft Common Stock (MSFT)	A	Dividend	K	T					
20. Walmart Common Stock (WMT)	A	Dividend	J	T					
21. US Treasury Note (912828X21)	B	Interest	L	T	Buy	04/02/19	L		
22. US Treasury Bill Matures 10/10/19 (912796RF8)		None			Buy	04/02/19	L		
23.					Redeemed	10/10/19	L	B	
24. BROKERAGE #2 (H)									
25. IShares Core S&P MidCap ETF (IJH)	A	Dividend	K	T					
26. IShares Core S&P SmallCap ETF (IJR)	A	Dividend	K	T					
27. IShares Core MSCI Eafe ETF (IEFA)	A	Dividend	J	T	Buy	04/03/19	J		
28. American Funds EuroPacific Growth Class F2 (AEPFX)	A	Dividend	K	T					
29. American Funds New World Fund Class F2 (NFFFX)	B	Dividend	K	T					
30. Invesco Oppenheimer Developing Markets Y (ODVYX)	A	Dividend	K	T	Buy	04/02/19	K		
31. Invesco Oppenheimer Intrl Small-Mid Company Y (OSMYX)	B	Dividend	K	T					
32. Janus Henderson Small Cap Val Fd Cl I (JSCOX)	A	Dividend	K	T					
33. JP Morgan Large Cap Growth Fund (SEEGX) (Formerly OLGAX)	C	Dividend	K	T					
34. MFS Value Fund Class I (MEIIX)	B	Dividend	K	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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35. Principal Midcap Fund Class I (PCBIX)	B	Dividend	K	T					
36. American Funds Growth Fund of America Class F2 (GFFFX)	C	Dividend	L	T	Sold (part)	04/02/19	J	C	
37. The Investment Company of America Class F2 (ICAFX)	C	Dividend	K	T	Sold (part)	04/02/19	J	C	
38. Franklin CA Interm Term Tx Fr Inc Adv (FRCZX)	C	Dividend	M	T	Buy (add'l)	12/19/19	L		
39. Angel Oak Income Fund (ANGIX) (Formerly ANGLX)	C	Dividend			Sold	12/19/19	L		
40. Janus Henderson Global Eq Inc Fd Cl I (HFQIX)	A	Dividend			Sold	04/02/19	J		
41. Invesco Oppenheimer Sr Float Rate Y (OOSYX)	B	Dividend			Sold	12/19/19	K		
42. Pioneer Strategic Income Fund (PSRAX) (Y)									
43. BROKERAGE #3 (H)									
44. UBS Bank USA Deposit Acct (cash)	A	Interest	K	T					
45. IBM Common Stock (IBM)	A	Dividend	J	T					
46. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
47. American Funds New World Fund Class A (NEWFX)	A	Dividend	K	T	Buy (add'l)	04/03/19	J		
48. American Funds Smallcap World Fund Class A (SMCWX)	C	Dividend	L	T	Buy (add'l)	04/03/19	J		
49. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	L	T	Buy (add'l)	04/03/19	J		
50. American Funds Fundamental Investors Fund Class A (ANCFX)	C	Dividend	K	T					
51. American Funds Growth Fund of America Class A (AGTHX)	C	Dividend	L	T					

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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. American Funds Investment Company of America Class A (AIVSX)	A	Dividend	J	T	Buy (add'l)	04/03/19	J		
53. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
54. American Funds Bond Funds of America Class A (ABNDX)	B	Dividend	K	T					
55. BROKERAGE #4 (H)									
56. UBS Bank USA Deposit Acct (cash)	A	Interest	K	T					
57. IBM Common Stock (IBM)	A	Dividend	J	T					
58. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
59. American Funds New World Fund Class A (NEWFX)	A	Dividend	K	T	Buy (add'l)	04/03/19	J		
60. American Funds Smallcap World Fund Class A (SMCWX)	B	Dividend	L	T	Buy (add'l)	04/03/19	J		
61. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	K	T	Buy (add'l)	04/03/19	J		
62. American Funds Fundamental Investors Fund Class A (ANCFX)	C	Dividend	K	T					
63. American Funds Growth Fund of America Class A (AGTHX)	C	Dividend	K	T	Buy (add'l)	04/03/19	J		
64. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
65. American Funds Bond Funds of America Class A (ABNDX)	A	Dividend	K	T					
66. IRA #1 (H)									
67. American Funds Growth Fund of America Cl A (AGTHX)	A	Dividend	J	T					

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3 Value Method Codes (See Column C2)					

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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.

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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/ John B. Owens**

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