

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2020**

*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 06/06/2021
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 01/01/2020 to 12/31/2020
	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. 2020	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)	D	Distribution	J	W					
2. UBS USA Deposit Account	A	Interest	J	T					
3.									
4. First Trust ISE Cloud Index (SKYY) (Investment Account)	A	Dividend	J	T	Buy	05/11/20	J		
5. First Trust NASDDAQ Cybersecurity EFT (CIBR) (Investment Account)	A	Dividend	J	T	Buy	05/11/20	J		
6. iShares NASDAQ Biotech EFT (IBB) (Investment Account)	A	Dividend	J	T	Buy	05/11/20	J		
7. Robo Global ETF (ROBO) (Investment Account)	A	Dividend	J	T	Buy	05/11/20	J		
8. Vanguard S&P 500 ETF (VOO) (Investment Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
9.					Buy (add'l)	04/07/20	J		
10.					Buy (add'l)	04/07/20	J		
11.					Buy (add'l)	04/08/20	J		
12.					Sold (part)	05/11/20	J	B	
13.					Sold (part)	10/21/20	J	D	
14. AB Large Cap Growth Fund (APGYX) (Investment Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
15.					Buy (add'l)	05/11/20	J		
16. Blackrock Mid-cap Growth EQ (CMGIX) (Investment Account)		None	J	T	Buy	10/21/20	J		
17. Clearbridge International Growth (LMGNX) (Investment Account)	A	Dividend	J	T	Buy	01/14/20	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	
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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	(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)	04/08/20	J	A	
19.					Sold (part)	05/11/20	J	A	
20. Janus Henderson Global Equity Income Fund)(HFQIX) (Investment Account)	A	Dividend	J	T	Buy	01/14/20	J		
21.					Sold (part)	04/08/20	J	A	
22.					Buy (add'l)	05/11/20	J		
23. JP Morgan Equity Income Fund (HLIEX) (Investment Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
24.					Buy (add'l)	05/11/20	J		
25. Pimco Stocks Plus Int Fund (PIUHX) (Investment Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
26.					Buy (add'l)	05/11/20	J		
27. Vanguard Mid-Cap Index Fund (VIMAX) (Investment Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	A	
28.					Sold (part)	04/07/20	J	C	
29.					Buy (add'l)	05/11/20	J		
30. AB Intermediate Muni Fund (AIDYX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
31.					Sold (part)	05/11/20	J	A	
32. Columbia Stragic Muni Income Fund (CATAX) (Investment Account)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
33.					Sold (part)	05/11/20	J	A	
34. Bond Fund of America Fund Class F2 (LTEFX) (Investment Account)		None	J	T	Buy	01/14/20	J		

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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. Nuveen High Yield Muni Bond (NHMRX) (Investment Account)	A	Dividend	J	T	Buy	05/11/20	J		
36. Nuveen Short Duration High Yield Muni Fund (NVHIX)(Investment Account)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
37.					Sold (part)	05/11/20	J	C	
38. American Funds Euro Pacific Growth Fund (AEPFX) (Investment Account)		None			Sold	01/12/20	J	C	
39. American Funds New World Fund (NFFFX) (Investment Account)		None			Sold	01/14/20	J	C	
40. American Funds Small Cap World Fund (SMCFX) (Investment Account)		None			Sold (part)	01/14/20	J	A	
41.					Sold	04/07/20	J	C	
42. Blackrock High Yield Muni Fund (BHYIX) (Investment Account)	A	Dividend			Buy (add'l)	01/14/20	J		
43.					Sold	05/11/20	J	A	
44. Tax Exempt Bond Fund of America (TEAFX) (Investment Account)	A	Dividend			Buy (add'l)	01/14/20	J		
45.					Sold	05/11/20	J	A	
46. JP Morgan Emerging Markets (Investment Account)		None			Buy	01/14/20	J		
47.					Sold	05/11/20	J	C	
48. First Trust ISE EFT (SKYY) (IRA Account)	A	Dividend	J	T	Buy	05/11/20	J		
49.					Sold (part)	12/08/20	J	B	
50. Cybersecurity EFT (CIBR) (IRA Account)	A	Dividend	J	T	Buy	05/11/20	J		
51.					Sold (part)	12/08/20	J	B	

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52. ROBO Global EFT (ROBO) (IRA Account)	A	Dividend	J	T	Buy	05/11/20	J		
53.					Buy (add'l)	05/11/20	J		
54.					Sold (part)	12/08/20	J	B	
55. Vanguard S&P 500 Fund EFT (VOO) (IRA Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
56.					Buy (add'l)	04/07/20	J		
57.					Buy (add'l)	04/08/20	J		
58.					Sold (part)	5/11/20	J	C	
59.					Sold (part)	10/21/20	J	D	
60.					Sold (part)	12/08/20	J	D	
61.					Buy (add'l)	12/08/20	J		
62. AB Large Cap Growth Fund (APGYX) (IRA Account)		None	J	T	Sold (part)	01/14/20	J	B	
63.					Buy	05/11/20	J		
64.					Sold (part)	12/08/20	J	B	
65. American Funds Small Cap World Fund (SMCFX) (IRA Account)		None	J	T	Sold (part)	01/14/20	J	A	
66.					Sold (part)	04/07/20	J	C	
67.					Buy	12/08/20	J		
68. Blackrock Emerging Markets Fund Inc (MADCX) (IRA Account)		None	J	T	Buy	12/08/20	J		

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69. Clearbridge Intrntl Growth Fund (LMGNX (IRA Account))	A	Dividend	J	T	Buy	01/14/20	J		
70.					Sold (part)	04/08/20	J	A	
71.					Sold (part)	05/11/20	J	A	
72.					Buy (add'l)	12/08/20	J		
73. Janus Henderson Equity Income Fund (HFQIX) (IRA Account)	A	Dividend	J	T	Buy	01/14/20	J		
74.					Sold (part)	04/08/20	J	A	
75.					Buy	05/11/20	J		
76.					Buy (add'l)	12/08/20	J		
77. JP Morgan Equity Income Fund (HLIEX) (IRA Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	B	
78.					Buy	05/11/20	J		
79. MFS Mid-Cap Value (MCVIX) (IRA Account)	A	Dividend	J	T	Buy	12/08/20	J		
80. Vanguard Small Cap Index Fund (VSIAX) (IRA Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	A	
81.					Sold (part)	04/07/20	J	C	
82. Vanguard Mid-Cap Index Fund (VIMAX) (IRA Account)	A	Dividend	J	T	Sold (part)	01/14/20	J	A	
83.					Sold (part)	04/07/20	J	B	
84.					Buy	05/11/20	J		
85.					Buy (add'l)	12/08/20	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
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86. Alpha Centric Income Opp Fund (IOFIX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	01/04/20	J		
87.					Buy (add'l)	04/03/20	J		
88.					Buy (add'l)	12/08/20	J		
89. JP Morgan Core Bond Fund (WOBDX) (IRA Account)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
90.					Buy (add'l)	05/11/20	J		
91.					Sold (part)	12/08/20	J	C	
92. Lord Abnett Short Duration Income (LDLFX) Fund (IRA Account)	A	Dividend	J	T	Buy (add'l)	01/14/20	J		
93.					Sold (part)	05/11/20	J	B	
94.					Sold (part)	12/08/20	J	A	
95. Pimco Income Fund (PONPX) (IRA Account)	A	Dividend	J	T	Buy	01/14/20	J		
96.					Sold (part)	05/11/20	J	B	
97.					Buy	12/08/20	J		
98. Amer Funds Europacific Growth Fund (AEPFX) (IRA Account)		None			Sold	01/14/20	J	D	
99. American Funds New World Fund (NFFFX) (IRA Account)		None			Sold	01/14/20	J	C	
100. Blackrock High Yield Bond Fund (MAYHX) (IRA Account)	A	Dividend			Buy (add'l)	01/14/20	J		
101.					Sold	04/02/20	J	C	
102. Blackrock Mid-Cap Growth (IRA Account)		None			Buy	10/21/20	J		

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103.					Sold	12/08/20	J	D	
104. Lord Abbett Ultra Short Bond Fund (LUBFX) (IRA Account)	A	Dividend			Sold	01/14/20	J	C	
105. Pimco Income Fund (PIMIX) (IRA Account)	A	Dividend			Sold (part)	01/14/20	J	B	
106.					Buy	05/11/20	J		
107.					Sold	12/08/20	J	C	
108. iShares NASDAQ Biotech (IRA Account)	A	Dividend			Buy	05/11/20	J		
109.					Sold	12/08/20	J	B	
110. JP Morgan Emerging Markets (IRA Account)		None			Buy	01/14/20	J		
111.					Sold	05/11/20	J	D	
112. U.S. Bank Accounts	A	Interest	M	T					
113. Wells Fargo Account	A	Interest	K	T					
114. Real Property - Alfalfa County Oklahoma	A	Distribution	K	W					
115. Mineral Interest - Alfalfa County Oklahoma	C	Royalty	J	T					
116. Janus Short Term BD (JABX) (Second IRA Account)	A	Dividend	L	T					
117. Wells Fargo Advtg Short Term Bd Inv (SSTVX) (Second IRA Account)	A	Dividend	K	T					
118. Vanguard Growth (VUG) (Second IRA Account)	B	Dividend	N	T					
119. Ishares Edge MSCI USA Quality Factor ETF (QUAL) (Second IRA Account)	C	Dividend	M	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	
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)
120. Vanguard Large Cap ETF IV (VV) (Second IRA Account)	D	Dividend	N	T					
121. Vanguard Short Term Treasury (VGSH) (Second IRA Account)	C	Dividend	M	T					
122. Vanguard Short Term Bond Index (VBISX) (Second IRA Account)	D	Dividend	N	T					
123. Graniteshares Xout US Large Cap ETF (XOUT) (Second IRA Account)		None	L	T	Buy	11/27/20	L		
124. ARK Genomic Revolution ETF (ARKG) (Second IRA Account)		None	K	T	Buy	12/07/20	K		
125. iShares Russell 1000 Growth ETF (IWF) (Second IRA Account)	A	Dividend	L	T	Buy	07/22/20	L		
126. Invesco NASDAQ Next Gen 100 ETF (QQQJ) (Second IRA Account)	A	Dividend	L	T	Buy	11/27/20	L		
127. SPDR Fund Consumer Staples ETF (XLP) (Second IRA Account)	B	Dividend	L	T	Buy	05/13/20	L		
128. Select Sctory Health Care SPDR ETF (XLV) (Second IRA Account)	A	Dividend	L	T	Buy	05/20/20	L		
129. Vanguard Utilities (VPU) (Second IRA Account)	A	Dividend			Sold	03/17/20	J	A	
130. Ishares Small Cap 600 (IJS) (Second IRA Account)		None			Sold	03/11/20	K	A	
131. Ishares Core S&P 500 (IVV) (Second IRA Account)		None			Sold	03/05/20	M	E	
132. Vanguard Value (VTV) (Second IRA Account)		None			Sold	03/17/20	M	A	
133. Vanguard Dividend Appreciation (VIG) (Second IRA Account)	A	Dividend			Sold	03/27/20	K	A	
134. Invesco QQQ Trust (QQQ) (Second IRA Account)		None			Buy	03/23/20	L		
135.					Sold	03/24/20	L	C	
136. Vaneck Vectors Gold Miners ETF (GDX) (Second IRA Account)		None			Buy	03/23/20	K		

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	

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)
137.					Sold	11/30/20	K	A	
138. iShares TIPS BOND ETF (TIP) (Second IRA Account)	A	Dividend			Buy	06/29/20	K		
139.					Sold	11/17/20	K	A	
140. Vanguard Short-Term Investment Grade INV (VFSTX)	A	Dividend			Buy	06/29/20	K		
141.					Sold	11/17/20	K	A	
142. Schwab Govt Money Fund (SNVXX) (Second IRA Account)	A	Dividend			Sold	01/17/20	M	B	

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		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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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
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