

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 Ninth Circuit	3. Date of Report 5/05/2017
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	6. Reporting Period 01/01/2016 to 12/31/2016
	5b. ☐ Amended Report	
7. Chambers or Office Address Ninth Circuit Court of Appeals Edward Schwartz Courthouse 221 West Broadway, Suite 2193 San Diego, CA 92101		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Harker School
2. Secretary/Board Member	
3. Co-Trustee	Trust #1
4.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Owens, John B.

Date of Report

5/05/2017

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.	
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.	University of Chicago	5/12/2016-5/14/2016	Chicago, IL	Meetings with Students and Faculty	Airfare, Hotel, Meals, Commemorative Glass Paperweight
2.	Harker School	3/1/2016	San Jose, CA	Board Meeting	Airfare, Transportation, Lunch
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Owens, John B.	5/05/2017

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

Owens, John B.

Date of Report

5/05/2017

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. Ford Common Stock	A	Dividend	J	T					
2. Home Depot Common Stock	A	Dividend	J	T					
3. McDonalds Common Stock	A	Dividend	J	T					
4. Microsoft Common Stock	A	Dividend	K	T					
5. Walmart Common Stock	A	Dividend	J	T					
6. Qualcomm Common Stock	A	Dividend	K	T					
7. IBM Common Stock	A	Dividend	J	T					
8. American Funds EuroPacific Growth Class F2	A	Dividend	K	T					
9. American Funds Growth Fund of America Class F2	A	Dividend	L	T					
10. American Funds New World Fund Class F2	A	Dividend	J	T					
11. American Funds SMALLCAP World Fund Class F2	A	Dividend	J	T					
12. Artisan Mid Cap Value Fund	A	Dividend	J	T					
13. Black Rock Liquidity Fund (formerly known as FFI Government Fund)	A	Int./Div.	K	T					
14. Fidelity Equity Income Fund	A	Int./Div.	K	T					
15. JP Morgan Large Cap Growth Fund		None	K	T					
16. MFS Value Fund Class	A	Dividend	K	T					
17. Nuveen High Yield Municipal Bond Fund	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	
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

Owens, John B.

Date of Report

5/05/2017

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. Pioneer Strategic Income Fund	B	Dividend	K	T					
19. Royce Dividend Value Fund	A	Dividend	J	T					
20. Thornburg International Value Fund	A	Dividend	J	T					
21. Virtus Multi-Sector Short Term Bond Fund	B	Dividend	L	T					
22. American Funds Fundamental Investors Fund Class A	A	Dividend	L	T					
23. American Funds Investment Company of America Class A	A	Dividend	K	T					
24. American Funds Euro Pacific Growth Fund Class A	A	Dividend	L	T					
25. American Funds Growth Fund of America Class A	A	Dividend	L	T					
26. American Funds New World Fund Class A	A	Dividend	K	T					
27. American Funds Smallcap World Fund Class A	A	Dividend	K	T					
28. American Funds Bond Funds of America Class A	A	Dividend	L	T					
29. American Funds Capital World Bond Fund Class A	A	Dividend	K	T					
30. Scholarshare 529 Passive Age Based 5-8	A	Int./Div.	L	T					
31. Scholarshare 529 Passive Age Based 11-12	A	Int./Div.	M	T					
32. UBS (Cash Accounts)	B	Interest	N	T					
33. Bank of America Checking Account	A	Interest	K	T					
34. Series I Savings Bonds	D	Interest	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	

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)
35. Angel Oak Income Fund	A	Dividend	J	T					
36. Maingate MLP Fund	B	Dividend	K	T					
37. Henderson Global Equity Fund	B	Dividend	K	T					
38. The Investment Company of America Class F2	B	Dividend	L	T					
39. Trust #1 (H)									
40. Northwestern Mutual Whole Life Insurance Policy #1	E	Dividend	M	T					
41. Northwestern Mutual Whole Life Insurance Policy #2	A	Dividend	K	T					
42. Mass Mutual Whole Life Insurance Policy		None	K	T					

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

Owens, John B.

Date of Report

5/05/2017

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

Part VII -- Investments and Trusts. Previous Financial Disclosure Reports grouped the "Investment Company of America Class F2" and "American Funds Investment Company of America Class A" into the same asset description. This Financial Disclosure Report lists them as separate assets.

On October 18, 2016, I was appointed as co-trustee for a trust for a family member. This trust is funded by the life insurance policies listed on Part VII. The life insurance policies existed before the creation of the Trust (Northwestern #1 was created on April 15, 1989, Northwestern #2 was created on November 2, 1965, and the Mass Mutual was created on February 1, 2005).

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Owens, John B.

Date of Report

5/05/2017

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