

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) CANBY, WILLIAM C.	2. Court or Organization NINTH CIRCUIT COURT OF APPEALS	3. Date of Report 04/15/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) SENIOR CIRCUIT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address U.S. COURTHOUSE, SUITE 610 401 W. WASHINGTON, SUITE 610 MAIL SPACE 55 PHOENIX, AZ 85003		
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. ADVISORY COMMITTEE MEMBER	ARIZONA STATE UNIVERSITY COLLEGE OF LAW; INDIAN LEGAL PROGRAM
2. MEMBER	ARIZONA STATE-TRIBAL-FEDERAL COURT FORUM
3. ADVISORY COMMITTEE MEMBER	AMERICAN LAW INSTITUTE; RESTATEMENT OF INDIAN LAW
4. MEMBER	AMERICAN LAW INSTITUTE
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. 7/1/67	ARIZONA STATE RETIREMENT SYSTEM; RECEIVING RETIREMENT ANNUITY FROM PRIOR TEACHING (DEFINED CONTRIBUTION PLAN)
2. 7/1/67	TEACHERS INSURANCE & ANNUITY ASS'N; RECEIVING RETIREMENT ANNUITY FROM PRIOR TEACHING (DEFINED CONTRIBUTION PLAN)
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. 2020	ARIZONA STATE RETIREMENT SYSTEM	\$45,735.60
2. 2020	TEACHERS INSURANCE & ANNUITY RETIREMENT PENSION	\$4,593.36
3. 2020	WEST PUBLISHING CO. ROYALTIES	\$10,219.00
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.				
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.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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)	(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)
1. CASH ACCOUNTS (H)									
2. -USAA FEDERAL SAVINGS BANK CASH ACCOUNT #1	A	Interest	L	T					
3. -USAA FEDERAL SAVINGS BANK CASH ACCOUNT #2	A	Interest	K	T					
4. -USAA FEDERAL SAVINGS BANK CASH ACCOUNT #3	B	Interest	N	T					
5. RETIREMENT FUNDS (H)									
6. -ARIZONA STATE RETIREMENT FUND (DEFINED CONTRIBUTION PLAN)	E	Distribution	N	T					
7. -TEACHERS INS. & ANNUITY ASSN (DEFINED CONTRIBUTION FUND)	C	Distribution	K	T					
8. MUTUAL FUNDS (H)									
9. -USAA S&P 500 INDEX FUND	E	Dividend	O	T					
10. -T. ROWE PRICE MID-CAP GROWTH FUND	E	Dividend	O	T					
11. -T. ROWE PRICE MID-CAP VALUE FUND	A	Dividend			Redeemed	04/24/20	M	E	
12. -VANGUARD 500 INDEX ADMIRAL FUND	E	Dividend	N	T	Buy (add'l)	01/10/20	J		
13. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	02/10/20	J		
14. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	03/10/20	J		
15. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	04/09/20	J		
16. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	05/08/20	K		
17. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	06/10/20	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)
18. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	07/10/20	K		
19. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	08/10/20	K		
20. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	09/10/20	K		
21. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	10/10/20	K		
22. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	11/10/20	K		
23. -VANGUARD 500 INDEX ADMIRAL FUND					Buy (add'l)	12/10/20	K		
24.									
25.									

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

(H) DENOTES A HEADER ROW

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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/ **WILLIAM C. CANBY**

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