

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/30/2019
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 01/01/2018 to 12/31/2018
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.		
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 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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	Jan. 26, 2018	San Jose, CA	Board Meeting	Transportation
2. University of Pennsylvania Law School	February 11-13, 2018	Philadelphia, PA	Owen J. Roberts Memorial Lecture/Ginsburg Celebration	Transportation, lodging, meals
3. NYU School of Law	March 26-31, 2018	New York, NY	Moot Court	Transportation, lodging (two nights), meals
4. Columbia	March 28-29, 2018	New York, NY	Ashton Embry Talk	Lodging (one night), meal
5. Harker School	April 10, 2018	San Jose, CA	Board Meeting	Transportation
6. Harker School	June 11, 2018	San Jose, CA	Board Meeting	Transportation

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting Owens, John B.	Date of Report 05/30/2019
--	---

7.	Harker School	August 23, 2018	San Jose, CA	Board Meeting	Transportation
8.	Harker School	December 14, 2018	San Jose, CA	Board Meeting	Transportation

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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. Bank of America (cash)	A	Interest	J	T					
2. Series I Savings Bonds	D	Interest	M	T					
3. Trust #1 (H)									
4. Northwestern Mutual Whole Life Insurance Policy #1	D	Dividend	O	T					
5. Northwestern Mutual Whole Life Insurance Policy #2	A	Dividend	K	T					
6. Mass Mutual Whole Life Insurance Policy	B	Dividend	K	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 9-10		None	L	T					
12. Scholarshare 529 Passive Age Based 13-14		None	M	T					
13. BROKERAGE #1 (H)									
14. UBS (Cash)	A	Interest	N	T					
15. United States Treasury Bill (912796QQ5)		None			Buy	09/20/18	M		
16.					Redeemed	12/27/18	M	B	
17. Ford Common Stock (F)	A	Dividend	J	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 6 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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. Home Depot Common Stock (HD)	A	Dividend	K	T					
19. McDonalds Common Stock (MCD)	A	Dividend	J	T					
20. Microsoft Common Stock (MSFT)	A	Dividend	K	T					
21. Walmart Common Stock (WMT)	A	Dividend	J	T					
22. BROKERAGE #2 (H)									
23. American Funds Growth Fund of America Class F2 (GFFFX)	D	Dividend	L	T					
24. The Investment Company of America Class F2 (ICAFX)	C	Dividend	K	T					
25. Angel Oak Income Fund (ANGLX)	C	Dividend	L	T					
26. American Funds EuroPacific Growth Class F2 (AEPFX)	B	Dividend	K	T					
27. Franklin CA Interm Term Tx Fr Inc Adv (FRCZX)	C	Dividend	M	T					
28. iShares Core S&P MidCap ETF (IJH)	A	Dividend	K	T					
29. iShares Core S&P SmallCap ETF (IJR)	A	Dividend	K	T					
30. Janus Henderson Small Cap Val Fd Cl I (JSCOX)	B	Dividend	K	T					
31. Janus Henderson Global Eq Inc Fd Cl I (HFQIX)	B	Dividend	J	T					
32. JP Morgan Large Cap Growth Fund (OLGAX)	C	Dividend	K	T					
33. MFS Value Fund Class I (MEIIX)	B	Dividend	K	T					
34. American Funds New World Fund Class F2 (NFFFX)	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 = \$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 \$5,000,000	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 7 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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)
35. Oppenheimer Internatl Sm-Mid Co Fd Cl Y (OSMYX)	B	Dividend	K	T					
36. Oppenheimer Sr Float Rate Fd Cl Y (OOSYX)	B	Dividend	K	T					
37. Pioneer Strategic Income Fund (PSRAX)	B	Dividend	L	T					
38. Principal Midcap Fund Class I (PCBIX)	C	Dividend	K	T					
39. BROKERAGE #3 (H)									
40. UBS (Cash)	A	Interest	J	T					
41. IBM Common Stock (IBM)	A	Dividend	J	T					
42. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
43. American Funds New World Fund Class A (NEWFX)	A	Dividend	J	T					
44. American Funds Smallcap World Fund Class A (SMCWX)	C	Dividend	K	T					
45. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	K	T	Buy (add'l)	09/21/18	J		
46. American Funds Fundamental Investors Fund Class A (ANCFX)	C	Dividend	K	T	Buy (add'l)	09/21/18	J		
47. American Funds Investment Company of America Class A (AIVSX)	A	Dividend	J	T					
48. American Funds Bond Funds of America Class A (ABNDX)	A	Dividend	K	T					
49. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
50. American Funds Growth Fund of America Class A (AGTHX)	D	Dividend	L	T					
51. BROKERAGE #4 (H)									

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 \$5,000,000	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 8 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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)
52. UBS (Cash)	A	Interest	J	T					
53. IBM Common Stock (IBM)	A	Dividend	J	T					
54. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
55. American Funds Fundamental Investors Fund Class A (ANCFX)	C	Dividend	K	T					
56. American Funds Growth Fund of America Class A (AGTHX)	C	Dividend	K	T					
57. American Funds Bond Funds of America Class A (ABNDX)	A	Dividend	K	T					
58. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
59. American Funds Euro Pacific Growth Fund Class A (AEPGX)	B	Dividend	K	T					
60. American Funds New World Fund Class A (NEWFX)	A	Dividend	K	T					
61. American Funds Smallcap World Fund Class A (SMCWX)	C	Dividend	K	T					
62. IRA #1 (H)									
63. American Funds Growth Fund of America Class A (AGTHX) (X)	A	Dividend	J	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 \$5,000,000	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 9 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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

Part IV, lines 3 and 4: Split reimbursement.

Part VII, line 38: Updated ticker symbol; see 2017, line 46.

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.

Part VII, line 4 (2017): This item is not reportable in 2018; there is not a corresponding reportable transaction.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Owens, John B.

Date of Report

05/30/2019

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544