

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) Christen, Morgan B.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 05/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	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 605 West 4th Avenue, Suite 252 Anchorage, Alaska 99501		
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.	
2.	
3.	
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. 2012	Alaska State Employee Accounts (Judicial Retirement, 457 Plan, 401(a) Plan); no control
2. 2001	Preston Gates & Ellis Retirement Savings (with former law firm); no control
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Alaska Permanent Fund Dividend	\$1,600.00
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. 2018	Self employed [REDACTED]
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. New York University Law School	Feb 22-25, 2018	Greentree, New York	Judicial Seminar	Transportation, lodging, meals
2. Rhodes Scholarship Committee	Nov 15-17, 2018	Seattle, Washington	Selection of Rhodes Scholarship recipient	Transportation, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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 4 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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. ASB Accounts (cash)	A	Interest	J	T					
2. Wells Fargo Accounts (cash)	A	Interest	J	T					
3. True North Federal Credit Union (cash)	A	Interest	J	T					
4. ████████ Accounts (cash)	A	Interest	N	T					
5. T. ROWE PRICE RETIREMENT 2025	F	Dividend	O	T					
6. American Century International Discovery	D	Dividend	L	T					
7. Brandes International Equity Fund		None	K	T					
8. Columbia Contrarian Fund (formerly Value & Restructuring Fund-Z)	B	Dividend	K	T					
9. Prime Plus Investments, Inc.	A	Dividend	J	T					
10. Seven Peaks Venture Fund (X)		None	K	T	Buy (add'l)	04/01/18	K		
11. Vanguard European Stock Index Fund	C	Dividend	M	T					
12. Vanguard Health Care Fund	D	Dividend	L	T					
13. Vanguard Limited-Term Tax Exempt Fund	A	Dividend	J	T					
14. ████████ Capital Account		None	M	T					
15. ████████ Retirement Plan (no control)	G	Int./Div.	P1	T					
16. HEWM VI Investment Fund (no control)		None	J	T					
17. HEWM XII Investment Fund (no control)		None	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 5 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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. HEWM XV Investment Fund (no control)		None	K	T					
19. Venture Law Group Invst. 2004 (no control)		None	J	T					
20. Venture Law Group Invst. 2005 (no control)		None	K	T					
21. Venture Law Group Invst. 2006 (no control)		None	J	T					
22. Venture Law Group Invst. 2007 (no control)	D	Distribution	J	T					
23. Endeavor Capital Fund	A	Distribution	K	T					
24. Investment Property # 1, Nelson, NZ		None	N	W					
25. Investment Property # 2, Blaine, WA		None	K	W					
26. Investment Property # 3, Blaine, WA		None	M	W					
27. Investment Property # 4, Leonard, MN		None	M	W					
28. Investment Property #5, Blaine, WA		None	M	W					
29. Rental Property # 1, Blaine, WA	D	Rent	M	W					
30. Rental Property # 2, Blaine, WA	E	Rent	M	W					
31. Rental Property # 3 (formerly #4), Bellingham, WA	C	Rent	M	W					
32. Northwestern Mutual - whole life policy #1	A	Dividend	K	T					
33. Northwestern Mutual - whole life policy #2	A	Dividend	K	T					
34. New York Life - whole life policy #1	C	Dividend	M	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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. New York Life - whole life policy #2	A	Dividend	M	T					
36. Brokerage Acct #1 (H)									
37. Merrill Lynch Bank Deposit Program (cash)	B	Interest	O	T					
38. First TR Large Cap Value Opportunities Alphadex (FTA)	A	Dividend			Sold	12/19/18	K	C	
39. First TR Small Cap Core Alphadex Fd. (FYX)	A	Dividend			Sold	12/19/18	J	C	
40. First TR Mid Cap Core Alphadex Fd. (FNX)	A	Dividend			Sold	12/19/18	J	C	
41. First TR Emerging Markets Alphadex Fund (FEM)	A	Dividend			Sold	12/19/18	J	A	
42. First TR Emerging Markets (FEMS)	A	Dividend			Sold	12/19/18	J	A	
43. Flexshares Morningstar Global Upstream Nat Res Index Fd. (GUNR)	A	Dividend			Sold	12/19/18	J	B	
44. FT 6590 VALUE LINE (CVAL17)	B	Dividend			Sold	07/11/18	L	D	
45. FT 6590 S&P TARGET SMID (CFMD17)	A	Dividend			Sold	07/11/18	L	D	
46. FT 6590 S&P TARGET 24 2Q (CFPT17)		None			Sold	07/11/18	L	D	
47. Invesco (formerly Guggenheim) S&P 500 Equal Weight ETF (RSP)	A	Dividend			Sold	12/19/18	K	C	
48. Invesco (formerly Guggenheim) S&P Mid Cap 400 Equal weight ETF (EWMC)	A	Dividend			Sold	12/19/18	J	C	
49. INVESCO UNIT TRS UNIT 1753 SELECT S&P INDL (CSPN17)		None			Sold	07/05/18	K	D	
50. INVESCO UNIT TRS UNIT 1753 EAFE SELECT 20 PORT (CEAF17)		None			Sold	07/05/18	K		
51. INVESCO UNIT TRS UNIT 1753 SELECT S&P CORE (CSCR17)		None			Sold	07/05/18	L		

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 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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. IQ Global Resources ETF (GRES)		None			Sold	12/19/18	J	A	
53. IQ Hedge Multi-Strat Tracker ETF (QAI)		None			Sold	12/19/18	K	B	
54. IQ US Real Estate Small (ROOF)	A	Dividend			Sold	12/19/18	J	A	
55. iShares 1-3 yr. Treasury Bond ETF (SHY)	A	Dividend			Sold	12/19/18	J		
56. Oppenheimer Rev. Weighted Trust Mid Cap Rev. ETF (RWK)	A	Dividend			Sold	12/19/18	J	C	
57. Oppenheimer Rev. Weighted Trust Small Cap Rev. ETF (RWJ)	A	Dividend			Sold	12/19/18	J	B	
58. Oppenheimer Rev. Weighted Trust Large Cap Rev. ETF (RWL)	A	Dividend			Sold	12/19/18	K	C	
59. PowerShares FTSE RAFI US 150 (PRFZ)	A	Dividend			Sold	12/19/18	J	B	
60. Proshares Hedge Replication ETF (HDG)	A	Dividend			Sold	12/19/18	K	B	
61. Vanguard REIT ETF (VNQ)	A	Dividend			Sold	12/19/18	J	B	
62. Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend			Sold	12/19/18	J	A	
63. Wisdomtree Midcap Earnings (EZM)	A	Dividend			Sold	12/19/18	J	C	
64. XTrackers MSCI EAFE Hedged Equity ETF (DBEF)	B	Dividend			Sold	12/19/18	L	C	
65. XTrackers MSCI Emerging Markets Hedged Equity ETF (DBEM)	B	Dividend			Sold	12/19/18	K	A	

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 8 of 9

Name of Person Reporting	Date of Report
Christen, Morgan B.	05/07/2019

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

Part VII, line 37: Corporate consolidation of 2017, lines 42 and 43.

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.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Christen, Morgan B.

Date of Report

05/07/2019

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/ Morgan B. Christen**

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