

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/13/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 222 West 7th Avenue, Suite 261, Box 60 Anchorage, AK 99513		
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.	Judge	United States Court of Appeals for the Ninth Circuit
2.	Director	Alaska Community Foundation
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.		

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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. 2013	Alaska Permanent Fund Dividend	\$900.00
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. 2013	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. Rasmuson Foundation Women's Retreat	9/4/13 - 9/5/13	Silver Salmon, Alaska	Spoke to group of women in the non-profit community	Transportation, lodging, meals
2. Rasmuson Foundation - Recover Alaska Retreat	11/14/13 - 11/15/13	Girdwood, Alaska	Recover Alaska Task Force meeting & retreat	One night of lodging, meals
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.	Wells Fargo Bank	Mortgage on rental property #1, Blaine, Washington	L
2.	People's Bank	LOC on rental property #2, Blaine, Washington	None
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. ASB Accounts	A	Interest	J	T					
2. Wells Fargo Accounts	A	Interest	J	T					
3. True North Federal Credit Union	A	Interest	J	T					
4. [REDACTED] Cash Accounts	A	Interest	J	T					
5. American Century International Discovery	B	Dividend	L	T					
6. American Funds Growth Fund of America	B	Dividend	M	T					
7. Cepheid (x)		None	J	T					
8. Artio International Equity Fund (Y)									
9. Brandes International Equity Fund		None	K	T					
10. Columbia Value & Restructuring Fund - Z	A	Dividend	J	T					
11. Fidelity Retirement Money Market Portfolio	A	Interest	M	T					
12. Great West - Alaska Supplemental Benefits Annuity		None	M	T					
13. Great West-457 Plan -Long Term Balanced Trust		None	M	T					
14. Prime Plus Investments, Inc. (x)	A	Dividend	J	T					
15. Vanguard European Stock Index Fund	C	Dividend	M	T					
16. Vanguard Health Care Fund	C	Dividend	K	T					
17. Vanguard Institutional Index Fund	B	Dividend	N	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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18. Vanguard Limited-Term Tax Exempt Fund	A	Interest	J	T					
19. Capital Account		None	M	T					
20. HEWM VI Investment Fund - no control		None	J	T					
21. HEWM VIII Investment Fund - no control		None	J	T					
22. HEWM XII Investment Fund - no control		None	J	T					
23. HEWM XV Investment Fund - no control	E	Distribution	K	T					
24. Venture Law Group Invst. 2004 - no control	D	Distribution	J	T					
25. Venture Law Group Invst. 2005 - no control	C	Distribution	K	T					
26. Venture Law Group Invst. 2006 - no control		None	J	T					
27. Venture Law Group Invst. 2007 - no control	D	Distribution	J	T					
28. Investment property #1, Nelson, NZ		None	N	W					
29. Investment property #2, Blaine, WA		None	K	W					
30. Investment property #3, Blaine, WA		None	M	W					
31. Investment property #4, Leonard, MN (x)		None	M	W					
32. Rental property #1, Blaine, WA		None	N	W					
33. Rental property #2, Blaine, WA	D	Rent	M	W					
34. Rental property #3, Blaine, WA		None	M	W					

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35. Rental property #4, Bellingham, WA	C	Rent	M	W					
36. Brokerage Account #1 (see lines 37-50, and 57)									
37. Black Diamond Inc. - common stock		None			Sold	7/10/13	J	B	
38. Capital One Finl. Corp. - common stock	A	Dividend			Sold	7/10/13	J	C	
39. Cisco Systems Inc. - common stock	A	Dividend			Sold	7/10/13	J		
40. ConocoPhillips Corp. - common stock	A	Dividend			Sold	7/10/13	K	D	
41. Ericsson LM, Tel Co. Sponsored ADR - common stock	A	Dividend			Sold	7/10/13	J		
42. Ingersoll-Rand PLC - common stock	A	Dividend			Sold	7/10/13	J	D	
43. Internet Cap Group Inc. - common stock		None			Sold	7/10/13	J		
44. Monsanto Co. - common stock	A	Dividend			Sold	7/10/13	J	B	
45. Nortel Network Corp. - common stock		None			Sold	7/10/13	J		
46. Northrim Bancorp Inc. - common stock	A	Dividend			Sold	7/10/13	J	C	
47. Pfizer, Inc. - common stock	A	Dividend			Sold	7/10/13	J	B	
48. Red Hat, Inc. - common stock		None			Sold	7/10/13	K	D	
49. Valueclick, Inc. - common stock		None			Sold	7/10/13	K	E	
50. Williams Cos Inc. - common stock	A	Dividend			Sold	7/10/13	J	C	
51. Retirement Plan - no control		None	P1	T					

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52. Northwestern Mutual - whole life	A	Dividend	J	T					
53. Northwestern Mutual - whole life	A	Dividend	K	T					
54. New York Life - whole life	B	Dividend	K	T					
55. Alaska Court System Ret. Plan - no control		None	M	W					
56. New York Life - second to die	A	Dividend	L	T					
57. Phillips 66	A	Dividend			Sold	7/10/13	J	D	
58. Facebook		None			Sold	12/15/13	N	G	
59. Ready Assets Prime Money (UBS)	A	Interest			Sold	12/15/13	K	A	
60. Merrill Lynch Brokerage Acct #2 (see lines 61-78)(x)	C	Dividend							
61. DB Equity Fund		None	K	T	Buy	7/10/13	K		
62. DB Emerging Markets		None	J	T	Buy	7/10/13	J		
63. First TR Large Cap		None	K	T	Buy	7/10/13	K		
64. First TTR Small Cap		None	J	T	Buy	7/10/13	J		
65. First TR Mid Cap		None	J	T	Buy	7/10/13	J		
66. FT 4250 S&P Target 24	A	Dividend	J	T	Buy	7/10/13	J		
67. FT 4250 Value Line	A	Dividend	J	T	Buy	7/10/13	J		
68. FT 4250 S&P Target SMID		None	K	T	Buy	7/10/13	J		

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69. Invesco S&P Core	A	Dividend	J	T	Buy	7/10/13	J		
70. Invesco S&P Indl. Port	A	Dividend	J	T	Buy	7/10/13	J		
71. Invesco EAFE Select	A	Dividend	J	T	Buy	7/10/13	J		
72. IQ Global Resources		None	J	T	Buy	7/10/13	J		
73. IQ Hedge		None	K	T	Buy	7/10/13	K		
74. I Shares 1-3 yrs		None	J	T	Buy	7/10/13	J		
75. Power Shares FTSE RAFI		None	J	T	Buy	7/10/13	J		
76. Revenue Shares Mid Cap		None	J	T	Buy	7/10/13	J		
77. Vanguard REIT ETF		None	J	T	Buy	7/10/13	J		
78. Vanguard MSCI Emerging		None	J	T	Buy	7/10/13	J		

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

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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/ 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