AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Bumatay, Patrick J.	U.S. Court of Appeals for the Ninth Circuit	10/24/2023
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	1/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Chambers of Hon. Patrick J. Bumatay 101 W. Broadway, Suite 700 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust #1
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	9/16/2021	Stanford Law School, teaching income	$5,000.00
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.)*

	DATE	SOURCE
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	Naples Colloquium, George Mason Law School	3/14/21-3/20/21	Naples, FL	Education Conference	transportation, meals, hotel
2.	National Security Institute Summer Program, George Mason Law School	7/20/21-7/24/21	Reykjavik, Iceland	Education Lecture	transportation, meals, hotel
3.	Forum on the Economic & Legal Foundations of Capitalism, George Mason Law School	9/9/21-9/13/21	Laguna Beach, CA	Education Conference	transportation, meals, hotel

4.	Stanford Constitutional Law Center, Stanford Law School	9/16/21-9/17/21	Palo Alto, CA	Education Lecture	transportation, meals, hotel
5.	National Lawyers Convention, Federalist Society	11/10/21-11/14/21	Washington, DC	Education Conference	transportation, meals, hotel

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Bumatay, Patrick J.	10/24/2023

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

	A	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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)	
1.	Trust #1 (John Hancock Universal Life Insurance Policy)		None	O	T					
2.	Morgan Stanley Account (H)									
3.	- Morgan Stanley cash, bank deposit program, and money market account	A	Int./Div.			Closed	08/26/21	J	A	
4.	- Invesco QQQ Trust, Series 1	D	Dividend			Sold	08/18/21	K	D	
5.	- SPDR DJIA - DIA	B	Dividend			Sold	08/18/21	J	B	
6.	- SPDR S&P 500 Growth ETF	D	Dividend			Sold	08/18/21	J	D	
7.	- SPDR S&P 500 Value ETF	C	Dividend			Sold	08/18/21	K	C	
8.	- SPDR S&P 500 ETF Trust	C	Dividend			Sold	08/18/21	J	C	
9.	-Vanguard Index FDS S&P 500 ETF (VOO)	D	Dividend			Sold	08/18/21	K	D	
10.	Merrill Lynch Roth IRA Account (H)									
11.	- Merrill Lynch cash/money accounts	A	Interest	J	T					
12.	- iShares Broad USD High Yield Corporate Bond	A	Dividend			Sold	10/21/21	J	A	
13.	- iShares Broad USD Invst Grade Corp Bond ETF	A	Dividend			Sold	10/21/21	J	A	
14.			None			Buy (add'l)	01/15/21	J		
15.	- iShares Core S&P Us Value ETF	B	Dividend			Sold	10/21/21	J	B	
16.		A	Dividend			Sold (part)	09/14/21	J	A	
17.		A	Dividend			Sold (part)	01/15/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000		
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market		
	U =Book Value	V =Other	W =Estimated			

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Bumatay, Patrick J.	10/24/2023

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18. - iShares Core S&P Small Cap ETF	A	Dividend			Sold	07/14/21	J	A	
19. - iShares Core S&P U.S. Growth ETF	C	Dividend			Sold	10/21/21	J	C	
20.	A	Dividend			Sold (part)	09/16/21	J	A	
21.	A	Dividend			Sold (part)	01/15/21	J	A	
22. - iShares US Treasury Bond ETF	A	Dividend			Sold	01/15/21	J	A	
23. - Vanguard FTSE Developed Markets ETF	B	Dividend			Sold	10/21/21	J	B	
24. - Vanguard FTSE Emerging Markets ETF	A	Dividend			Sold	10/21/21	J	A	
25.		None			Buy (add'l)	09/16/21	J		
26.		None			Buy (add'l)	01/15/21	J		
27. - Vanguard Mortgage-Back SEC	A	Dividend			Sold	10/21/21	J	A	
28.		None			Buy (add'l)	01/15/21	J		
29. - Vanguard Russell 2000	A	Dividend			Sold	10/21/21	J	A	
30.		None			Buy	07/14/21	J		
31. - SPDR Bloomerg Barclays	A	Dividend			Sold	10/21/21	J	A	
32.		None			Buy	09/16/21	J		
33. - Vanguard Index S&P 500 ETF-VOO	A	Dividend	K	T	Buy	11/01/21	K		
34. Morvillo Abramowitz 401(k) Account (H)									

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35. - Wells Fargo/Allspring Special Small Cap Value Fund	C	Dividend	K	T					
36. - T Rowe Price Retirement 2040	C	Dividend	K	T					
37. Capital One Money Market Account	A	Interest	J	T					
38. Citibank Cash Account		None	J	T					
39. Ohio College Advantage 529 Account #1 (H)									
40. - 2038 Age-Based Fund		None	J	T					
41. Ohio College Advantage 529 Account #2 (H)									
42. - 2038 Age-Based Fund		None	J	T					
43.									
44.									

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3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
Bumatay, Patrick J.	10/24/2023

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Patrick J. Bumatay

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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544