AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

*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 |
|---|---|---|
| CANBY, WILLIAM C. | NINTH CIRCUIT COURT OF APPEALS | 04/24/2024 |
| **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** |
| SENIOR CIRCUIT JUDGE | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2023 **to** 12/31/2023 |
| **7. Chambers or Office Address** | | |
| U.S. COURTHOUSE, SUITE 610<br>401 W. WASHINGTON, SUITE 610<br>MAIL SPACE 55<br>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 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. | ADVISORY COMMITTEE MEMBER | ARIZONA STATE UNIVERSITY COLLEGE OF LAW; INDIAN LEGAL PROGRAM |
| 2. | MEMBER | ARIZONA STATE-TRIBAL-FEDERAL-COURT FORUM |
| 3. | MEMBER | AMERICAN LAW INSTITUTE |
| 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. | 7/1/67 | ARIZONA STATE RETIREMENT SYSTEM; RECEIVING RETIREMENT ANNUITY FROM PRIOR TEACHING (DEFINED CONTRIBUTIO PLAN) |
| 2. | 7/1/67 | TEACHERS INSURANCE & ANNUITY ASS'N; RECEIVING RETIREMENT ANNUITY FROM PRIOR TEACHING (DEFINED CONTRIBUTION PLAN) |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **CANBY, WILLIAM C.** | 04/24/2024 |

## 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. | 2023 | ARIZONA STATE RETIREMENT SYSTEM | $45,735.60 |
| 2. | 2023 | TEACHERS INSURANCE & ANNUITY RETIREMENT PENSION | $4,968.36 |
| 3. | 2023 | WEST PUBLISHING ROYALTIES | $9,341.31 |
| 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. | NEW MEXICO PRE-LAW SUMMER INSTITUTE, N.M. LAW SCHOOL | JULY 13-14, 2023 | ALBUQUERQUE, NM | LECTURE | TRAVEL, LODGING, MEALS |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## 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 |
|---|---|
| **CANBY, WILLIAM C.** | 04/24/2024 |

## 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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure | | B. Income during reporting period (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|---|
| 1. | CASH ACCOUNTS (H) | | | | | | | | | |
| 2. | -USAA FEDERAL SAVINGS BANK CASH ACCOUNT #1 | A | Interest | K | T | | | | | |
| 3. | -USAA FEDERAL SAVINGS BANK CASH ACCOUNT #2 | B | Interest | M | T | | | | | |
| 4. | BANK OF AMERICA CASH ACCOUNT | A | Interest | K | T | | | | | |
| 5. | RETIREMENT FUNDS (H) | | | | | | | | | |
| 6. | -ARIZONA STATE RETIREMENT FUND (DEFINED CONTRIBUTION PLAN) | E | Distribution | N | T | | | | | |
| 7. | -TEACHERS INS. & ANNUITY ASSN (DEFINED CONTRIBUTIONFUND) | C | Distribution | K | T | | | | | |
| 8. | MUTUAL FUNDS (H) | | | | | | | | | |
| 9. | -USAA S&P 500 INDEX FUND NOW VICTORY FUND (USAA) | E | Dividend | P1 | T | | | | | |
| 10. | | | | | | Buy (add'l) | 3/21/23 | J | | |
| 11. | | | | | | Buy (add'l) | 6/21/23 | J | | |
| 12. | | | | | | Buy (add'l) | 09/18/23 | J | | |
| 13. | | | | | | Buy (add'l) | 12/13/23 | J | | |
| 14. | | | | | | Buy (add'l) | 12/21/23 | J | | |
| 15. | -T.ROWE PRICE MID-CAP GROWTH FUND | F | Dividend | O | T | Buy (add'l) | 12/13/23 | L | | |
| 16. | -VANGUAD 500 INDEX ADMIRAL FUND | D | Dividend | O | T | Buy (add'l) | 01/06/23 | J | | |
| 17. | -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 02/06/23 | J | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 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 | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **CANBY, WILLIAM C.** | 04/24/2024 |

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| A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure | B. Income during reporting period (1) Amount Code 1 (A-H) | B. (2) Type (e.g., div., rent, or int.) | C. Gross value at end of reporting period (1) Value Code 2 (J-P) | C. (2) Value Method Code 3 (Q-W) | D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption) | D. (2) Date mm/dd/yy | D. (3) Value Code 2 (J-P) | D. (4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 18. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 03/06/23 | J | | |
| 19. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 03/23/23 | J | | |
| 20. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Redeemed (part) | 05/04/23 | M | | |
| 21. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 06/28/23 | J | | |
| 22. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 09/27/23 | J | | |
| 23. -VANGUARD 500 INDEX ADMIRAL FUND | | | | | Buy (add'l) | 12/19/23 | J | | |
| 24. | | | | | | | | | |
| 25. | | | | | | | | | |
| 26. | | | | | | | | | |
| 27. | | | | | | | | | |
| 28. | | | | | | | | | |

1. Income Gain Codes: (See Columns B1 and D4)
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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)
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U =Book Value V =Other W =Estimated

| Name of Person Reporting | Date of Report |
|---|---|
| **CANBY, WILLIAM C.** | 04/24/2024 |

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

(H) DENOTES A HEADER ROW

| Name of Person Reporting | Date of Report |
|---|---|
| **CANBY, WILLIAM C.** | 04/24/2024 |

## 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/ 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. § 13106)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544