AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Graber, Susan P.	U.S. Court of Appeals 9th Circuit	06/30/2022
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 - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
The Pioneer Courthouse 700 SW 6th Ave Portland OR 97204		

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.	
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. 1988	Oregon Public Employee's Retirement Systems (PERS) with former employer when I was a state court judge. (Statutorily defined benefits, no control)
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.	2021	PERS retirement pension	$31,465.00
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.	2021	Portland General (retirement income)
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.					
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
Graber, Susan P.	06/30/2022

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. Charles Schwab Cash Reserves #1 (See Part VIII)	A	Interest	L	T					
2. Oregon Savings Growth Plan - Large Co. Growth Stock plan		None	L	T					
3. Family Farm LLC - tax assessment dated Sept 2021 ($228,050)	D	Distribution	M	S					
4. IRA #1(H)									
5. --Vanguard 500 Index Fund (VFIAX)	B	Dividend	N	T	Buy (add'l)	08/27/21	L		
6.					Buy (add'l)	08/31/21	L		
7.					Sold (part)	12/17/21	K		
8. --Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend	L	T	Buy (add'l)	12/20/21	K		
9. --Schwab Cash Reserves bank sweep account	A	Interest	M	T					
10. --Schwab Value Advantage Money Market fund	B	Dividend			Sold	08/26/21	L		
11. --Vanguard ST Treasury (VSBSX)	D	Dividend	N	T	Sold (part)	08/30/21	O		
12.					Buy (add'l)	12/28/21	M		
13. --Vanguard Total Bond Mkt Indx (VBTLX)	B	Int./Div.	M	T	Buy	08/31/21	O		
14.					Sold (part)	11/12/21	M		
15.					Sold (part)	11/19/21	M		
16.					Sold (part)	12/27/21	M		
17. --Vanguard Shrt-Term Infl Prot Sec Idx (VTAPX)	A	Dividend	M	T	Buy	11/22/21	M		

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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18. --Vanguard S & P 500 Growth ETF (VOOG)	A	Dividend	M	T					
19.									
20. IRA # 2 (H)									
21. --Schwab Value Advantage Fund	D	Dividend			Sold (part)	08/26/21	M		
22.					Sold	08/30/21	K		
23. --Vanguard High Div Yield Index (VHYAX)	B	Dividend							
24. --Vanguard ST Trsy (VSBSX)	C	Dividend	M	T	Sold (part)	08/26/21	M		
25.					Sold (part)	08/30/21	N		
26.					Buy (add'l)	11/22/21	M		
27. --Vanguard S & P 500 ETF (VOO)	B	Dividend	N	T					
28. --Vanguard Small Cap Index (VSMAX)	A	Dividend	L	T	Buy	08/26/21	K		
29.					Buy (add'l)	11/08/21	L		
30. --Vanguard Mid Cap Index (VIMAX)	A	Dividend	L	T	Buy	08/27/21	K		
31. --Vanguard Interm-Term Invmt Grade (VFICX)					Buy	08/27/21	L		
32.					Sold	11/19/21	L		
33. --Vanguard Total Bond Mkt Index (VBTLX)	A	Int./Div.	L	T	Buy	08/31/21	N		
34.					Sold (part)	11/05/21	L		

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35.					Sold (part)	11/19/21	M		
36. --Vanguard Shrt-Term Infl-Prot Sec IDX (VTAPX)	A	Int./Div.	L	T	Buy	11/22/21	L		
37. --Schwab Bank sweep account	A	Interest	M	T					
38.									

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

Part VII, line 1: The Charles Schwab Cash Reserve funds are cash-equivalent funds.

Part VII, line 2: The Oregon Savings Growth Plan allows for the selection of a general investment strategy and a specific plan within that strategy. The Large Company Growth Stock plan is not self-directed.

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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/ Susan P. Graber

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
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