AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Koh, Lucy H.	United States Court of Appeals for the Ninth Circuit	05/04/2024
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**
United States Circuit Court Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2022 **to** 12/31/2022
7. Chambers or Office Address		
95 7th Street San Francisco, California 94103		

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.)*

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

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Koh, Lucy H.	05/04/2024

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.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.			
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 AND TYPE
1.	2022	Carnegie Endowment for International Peace -- salary
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	California Asian Pacific American Bar Association	September 24-25, 2022	San Diego, California	2022 Trailblazer Award Acceptance Speech	Airplane, hotel, ground transportation, airport parking
2.					
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.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)	(5) Identity of buyer/seller (if private transaction)
1.	Wells Fargo Accounts	A	Interest	M	T					
2.	State of California Savings Plus Program		None	J	T					
3.	American Funds Washington Mutual R6	D	Dividend	M	T					
4.	Nationwide Geneva Small Cap Gr R6	D	Dividend	M	T					
5.	Dodge & Cox Balanced	D	Dividend	M	T					
6.	Lord Abbett Total Return Trust II R	B	Interest	L	T					
7.	Vanguard Target Retirement 2035 Fund	B	Dividend	L	T					
8.	Vanguard Inst Target Retirement 2035	E	Dividend	P1	T					
9.	AMG River Road Mid Cap	D	Dividend	L	T					
10.	Invesco CollegeBound Age Based Portfolio		None	J	T					
11.	TIAA CREF ScholarShare Active Age-Based Portfolio		None	K	T					
12.	T Rowe Retirement 2035	A	Dividend	K	T					
13.										
14.										
15.										
16.										
17.										

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

I understand that all income is reportable, whether taxable, tax deferred, or taxt exempt. I further understand that dividends that are reinvested must be listed as income. However, Part VII, lines 2, 10, and 11 had no dividends, had no reinvestment of dividends, had no interest, and thus had no reportable income in calendar year 2022.

For Title VII, line 10, this [redacted] started college in the fall of 2022, so we made a withdrawal for this [redacted] college tuition and expenses in the fall of 2022.

For Title VII, line 6, this account changed from Lord Abbett Total Return R5 to Lord Abbett Total Return Trust II R Fund on October 26, 2022. I had no role in this change. This account paid interest and no dividends in 2022.

For Title VII, line 7, this account changed from Vanguard Institutional Target Retirement 2035 Institutional Fund to Vanguard Target Retirement 2035 Fund on February 11, 2022. I had no role in this change.

For Titlte VII, line 8, this account paid dividends, but no interest in 2022. My [redacted] deposited [redacted] retirement from the California Supreme Court into this account in 2022.

For Title VII, line 12, this retirement account was created at the end of Novemebr 2022 by the Carnegie Endowment for International Peace, my [redacted] employer.

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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/ Lucy H. Koh

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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