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
Lee, Kenneth K.	U.S. Court of Appeals for the Ninth Circuit	7/10/2024
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**
Federal judge, U.S. Court of Appeals (active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2023 **to** 12/31/2023
	5b. ☐ Amended Report	
7. Chambers or Office Address		
5796 Armada Drive Suite 325 Carlsbad, CA 92008		

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.		
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. Fall 2023	University of San Diego Law School (teaching)	$10,000.00
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. 6/23-12/23	U.S. Depart of Housing and Urban Development
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. Judicial Education Institute	7/31/2023 - 8/4/2023	Orlando, Florida	Attend educational seminar	Room and boarding; transportation
2.				
3.				
4.				
5.				

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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.	Citibank	Credit card	K
3.	Mr. Cooper	Mortgage for second home	M
4.	Mosaic	Solar panel	K
5.			

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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.	Citibank Checking Account	A	Interest	J	T					
2.	Schwab cash account	A	Interest	K	T					
3.	San Diego County Credit Union savings account	A	Interest	J	T					
4.	Amazon common stock		None	L	T					
5.	Bank of America common stock	A	Dividend	L	T					
6.						Sold (part)	10/23/23	J	B	
7.	Microsoft common stock	A	Dividend	K	T					
8.	Schwab Total Stock Index Fund (SWTSX)	B	Dividend	M	T					
9.						Sold (part)	08/25/23	J	A	
10.						Sold (part)	10/20/23	J	A	
11.	Schwab S&P 500 Index Fund (SWPPX)	A	Dividend	K	T					
12.						Sold (part)	08/25/23	J	B	
13.						Sold (part)	12/19/23	J	B	
14.	DFA Short Duration Real Ret Fund (DFAIX)	D	Dividend	M	T					
15.						Sold (part)	08/23/23	J	A	
16.	DFA CA Short Term Muni Bond Fund (DFCMX)	A	Dividend	K	T					
17.						Sold (part)	08/23/23	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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☐ 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)	
18.					Sold (part)	10/20/23	J	A	
19. DFA CA Intermediate Muni Bond Fund (DCIBX)	A	Dividend	K	T					
20.					Sold (part)	08/25/23	J	A	
21.					Sold (part)	12/19/23	J	A	
22. Doubleline Total Ret Bond I Fund (DBLTX)	B	Dividend	M	T					
23.					Buy (add'l)	08/09/23	J		
24.					Sold (part)	08/25/23	J	A	
25.					Sold (part)	10/20/23	J	A	
26. PIMCO Income Inst Fund (PIMIX)	B	Dividend	M	T					
27.					Sold (part)	08/25/23	J	A	s
28.					Sold (part)	10/20/23	J	A	
29. DFA EM MK Sustainability Fund (DESIX)	B	Dividend	L	T					
30.					Buy (add'l)	02/08/23	J		
31. DFA Int'l Sustain Fund (DFSPX)	B	Dividend	M	T					
32. DFA US Sustain Fund (DFSIX)	C	Dividend	N	T					
33.					Sold (part)	01/03/23	J	D	
34. DFA US Tgted Value Fund (DFFVX)	A	Dividend	L	T					

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
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	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	
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35. DFA Two-Yr Global Fixed Fund (DFGFX)	C	Dividend	L	T					
36.					Sold (part)	01/03/23	K	A	
37. DFA Intl Small Value Fund (DISVX)	B	Dividend	L	T					
38.					Sold (part)	01/03/23	J	A	
39.					Sold (part)	03/22/23	J	A	
40. DFA Invmt Grade Inst Fund (DFAPX)	B	Dividend	L	T					
41.					Buy (add'l)	11/09/23	J		
42. DFA Global Real Est Sec Fund (DFGEX)	B	Dividend	K	T					
43. My529 Account (Target Enrollment 2036/37 Fund)		None	M	T					

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

Signature: s/ Kenneth K. Lee

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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