AO 10
Rev. 1/2021

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
Owens, John B.	United States Court of Appeals, Ninth Circuit	08/10/2022
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**
Circuit Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
Ninth Circuit Court of Appeals Edward Schwartz Courthouse 221 West Broadway 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 pp. 9-13 of filing instructions)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Harker School
2.	Director	Scripps Ranch Youth Basketball
3.	Trustee	Trust #1 (reportable assets are listed in Part VII)
4.	Member	Stanford Law School Board of Visitors
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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.		
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.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Owens, John B.	08/10/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	J	T					
3. Series I Savings Bonds	D	Interest	M	T					
4. Account #1 (H)									
5. Northwestern Mutual Whole Life Insurance	D	Dividend	P1	T					
6. Mass Mutual Universal Life Insurance Policy	B	Dividend	M	T					
7. Account #2 (H)									
8. American Funds Growth Fund of America Cl A (AGTHX)	A	Dividend			Sold	03/19/21	J	C	
9. Vanguard Small-Cap Etf (VB)	A	Dividend	J	T	Buy	03/19/21	J		
10.					Buy (add'l)	07/06/21	J		
11. Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T	Buy	07/01/21	J		
12. Vanguard S&P 500 ETF (VOO)	A	Dividend	J	T	Buy	03/19/21	J		
13.					Buy (add'l)	07/06/21	J		
14. Vanguard FTSE Developed Mkt ETF (VEA)	A	Dividend	J	T	Buy	07/01/21	J		
15. Dodge & Cox Global Stock Fund (DODWX)	A	Dividend	J	T	Buy	07/01/21	J		
16. Invesco Developing Markets Fund Class Y (ODVYX)	A	Dividend	J	T	Buy	07/01/21	J		
17. Invesco International Small-Mid Company Class Y (OSMYX)	A	Dividend	J	T	Buy	07/01/21	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
Owens, John B.	08/10/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
18.	Jp Morgan Large Cap Growth Fund Class I (SEEGX)	A	Dividend	J	T	Buy	07/01/21	J		
19.	MFS Value Fund Class I (MEIIX)	A	Dividend	J	T	Buy	07/01/21	J		
20.	Morgan Stanley International Advantage CL I (MFAIX)	A	Dividend	J	T	Buy	07/01/21	J		
21.	Principal Mid-Cap Fund Class I (PCBIX)	A	Dividend	J	T	Buy	07/01/21	J		
22.	Account #3 (H)									
23.	Blackrock Liquidity Fund T Instl	A	Dividend			Sold	06/30/21	K		
24.	Fidelity Equity Income Fund (FEQIX)	A	Dividend			Sold	06/30/21	K		
25.	Account #4 (H)									
26.	UBS Bank USA Deposit Acct (cash)	A	Interest	M	T					
27.	US Treasury Bill Matures 03/25/21 (9127962F5)		None			Redeemed	03/25/21	M	A	
28.	Ford Common Stock (F)	A	Dividend			Sold	12/28/21	J	D	
29.	Home Depot Common Stock (HD)	A	Dividend	K	T					
30.	McDonalds Common Stock (MCD)	A	Dividend			Sold	12/28/21	J	C	
31.	Microsoft Common Stock (MSFT)	A	Dividend	L	T					
32.	Walmart Common Stock (WMT)	A	Dividend			Sold	12/28/21	J	C	
33.	Account #5 (H)									
34.	UBS Insured Sweep Prgm (Cash)	A	Interest	J	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
	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
Owens, John B.	08/10/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
35.	IShares Core S&P MidCap ETF (IJH)	A	Dividend	K	T	Buy (add'l)	03/22/21	J		
36.	IShares Core S&P SmallCap ETF (IJR)	B	Dividend	L	T	Buy (add'l)	03/23/21	J		
37.	IShares Core MSCI Eafe ETF (IEFA)	A	Dividend	K	T					
38.	American Funds EuroPacific Growth Class F2 (AEPFX)	C	Dividend	K	T	Sold (part)	03/22/21	J	A	
39.	American Funds New World Fund Class F2 (NFFFX)	C	Dividend	L	T	Buy (add'l)	03/22/21	J		
40.	Invesco Oppenheimer Developing Markets Y (ODVYX)	B	Dividend	K	T					
41.	Invesco Oppenheimer Intl Small-Mid Company Y (OSMYX)	C	Dividend	K	T	Buy (add'l)	03/22/21	J		
42.	JP Morgan Large Cap Growth Fund (SEEGX)	D	Dividend	L	T	Sold (part)	03/22/21	J	A	
43.	MFS Value Fund Class I (MEIIX)	B	Dividend	L	T	Sold (part)	03/22/21	J	C	
44.	Principal Midcap Fund Class I (PCBIX)	C	Dividend	L	T	Buy (add'l)	03/22/21	J		
45.						Sold (part)	10/27/21	J	C	
46.	American Funds Growth Fund of America Class F2 (GFFFX)	D	Dividend	L	T	Sold (part)	03/22/21	J	B	
47.	The Investment Company of America Class F2 (ICAFX)	C	Dividend	L	T					
48.	Franklin CA Interm Term Tx Fr Inc Adv (FRCZX)	D	Dividend	M	T	Sold (part)	03/22/21	J		
49.	Account #6 (H)									
50.	ScholarShare 2026/2027 Enrollment Portfolio Passive		None	M	T					
51.	Account #7 (H)									

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
Owens, John B.	08/10/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
52.	ScholarShare 2022/2023 Enrollment Portfolio Passive		None	M	T					
53.	Account #8 (H)									
54.	IBM Common Stock (IBM)	A	Dividend			Sold	12/28/21	J		
55.	Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
56.	Vanguard Small-Cap ETF (VB)	A	Dividend	J	T					
57.	Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T	Buy	12/28/21	K		
58.	American Funds New World Fund Class A (NEWFX)	B	Dividend	K	T					
59.	American Funds Smallcap World Fund Class A (SMCWX)	D	Dividend	M	T					
60.	American Funds Euro Pacific Growth Fund Class A (AEPGX)	D	Dividend	L	T					
61.	American Funds Fundamental Investors Fund Class A (ANCFX)	D	Dividend	L	T					
62.	American Funds Growth Fund of America Class A (AGTHX)	D	Dividend	M	T					
63.	American Funds Investment Company of America Class A (AIVSX)	A	Dividend	J	T					
64.	American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
65.	American Funds Bond Funds of America Class A (ABNDX)	C	Dividend	L	T					
66.	Account #9 (H)									
67.	IBM Common Stock (IBM)	A	Dividend			Sold	12/28/21	J		
68.	Qualcomm Common Stock (QCOM)	A	Dividend	J	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
	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
Owens, John B.	08/10/2022

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	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)	(5) Identity of buyer/seller (if private transaction)
69. Vanguard Small-Cap ETF (VB)	A	Dividend	J	T					
70. Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T	Buy	12/28/21	K		
71. American Funds New World Fund Class A (NEWFX)	B	Dividend	K	T					
72. American Funds Smallcap World Fund Class A (SMCWX)	D	Dividend	M	T					
73. American Funds Euro Pacific Growth Fund Class A (AEPGX)	D	Dividend	L	T					
74. American Funds Fundamental Investors Fund Class A (ANCFX)	D	Dividend	L	T					
75. American Funds Growth Fund of America Class A (AGTHX)	D	Dividend	L	T					
76. American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
77. American Funds Bond Funds of America Class A (ABNDX)	B	Dividend	K	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
	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
Owens, John B.	08/10/2022

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Owens, John B.	08/10/2022

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/ John B. Owens

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544