AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Owens, John B.	United States Court of Appeals, Ninth Circuit	08/08/2023
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	01/01/2022 **to** 12/31/2022
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 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.	Trustee	Harker School
2.	Trustee	Trust #1 (reportable assets are listed in Part VII)
3.	Member	Stanford Law School Board of Visitors
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.			
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.		
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.	Stanford School of Law	February 4, 2022	Stanford, CA	Moot Court	Transportation, meals
2.	UCLA School of Law	March 30-31, 2022	Los Angeles, CA	Moot Court	Transportation, lodging
3.	American Academy of Appellate Lawyers	March 31-April 1, 2022	Newport Beach, CA	Spring Conference	Transportation, meals, lodging
4.	Harker School	August 17-18, 2022	San Jose, CA	Board Meeting	Transportation, meals, lodging
5.	Notre Dame School of Law	Sept. 21-25, 2022	Rome, Italy	Speak to and participate in conference with foreign and American judges	Transportation, meals, lodging

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
Owens, John B.	08/08/2023

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.	Individual Assets (H)									
2.	Bank of America (cash)	A	Interest	J	T					
3.	US Savings Bonds, Series I	D	Interest	M	T					
4.	Account #1 (H)									
5.	Northwestern Mutual Whole Life Insurance (Y)									
6.	Mass Mutual Universal Life Insurance Policy (Y)									
7.	Account #2 (H)									
8.	Ishares MSCI Emerging Markets ETF (EEM)	A	Dividend	J	T	Buy	05/02/22	J		
9.	Vanguard Value ETF (VTV)	A	Dividend	J	T	Buy	01/06/22	J		
10.	Vanguard Small-Cap Etf (VB)	A	Dividend	J	T					
11.	Vanguard Mid-Cap ETF (VO)	A	Dividend	J	T					
12.	Vanguard S&P 500 ETF (VOO)	A	Dividend	J	T	Sold (part)	05/02/22	J	A	
13.	Vanguard FTSE Developed Mkt ETF (VEA)	A	Dividend	J	T	Buy (add'l)	01/06/22	J		
14.	Dodge & Cox Global Stock Fund (DODWX)		None			Sold	01/06/22	J		
15.	Invesco Developing Markets Fund Class Y (ODVYX)		None			Sold	05/02/22	J		
16.	Invesco International Small-Mid Company Class Y (OSMYX)	A	Dividend	J	T	Sold (part)	01/06/22	J		
17.	Jp Morgan Large Cap Growth Fund Class I (SEEGX)	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			

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)	
18. MFS Value Fund Class I (MEIIX)	A	Dividend	J	T					
19. Morgan Stanley International Advantage CL I (MFAIX)	A	Dividend	J	T	Sold (part)	01/06/22	J	A	
20. Principal Mid-Cap Fund Class I (PCBIX)		None			Sold	01/06/22	J		
21. Account #3 (H)									
22. UBS Bank USA Deposit Acct (cash)	A	Interest	K	T					
23. UBS Select Treasury Instl Fund (SETXX) (cash eq.)	A	Dividend	L	T	Buy	10/31/22	K		
24.					Buy (add'l)	11/04/22	K		
25. Home Depot Common Stock (HD)	A	Dividend	K	T					
26. Microsoft Common Stock (MSFT)	A	Dividend	L	T					
27. Account #4 (H)									
28. UBS Insured Sweep Prgm (Cash)	A	Interest	J	T					
29. IShares Core S&P MidCap ETF (IJH)	A	Dividend	K	T	Sold (part)	02/09/22	J	A	
30. IShares Core S&P SmallCap ETF (IJR)	A	Dividend	L	T	Sold (part)	02/09/22	J	A	
31.					Buy (add'l)	11/02/22	J		
32. IShares MSCI Emerging Markets ETF (EEM)	A	Dividend			Buy	05/16/22	L		
33.					Sold	11/02/22	L		
34. IShares Core MSCI Eafe ETF (IEFA)	A	Dividend			Buy (add'l)	02/09/22	K		

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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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Name of Person Reporting	Date of Report
Owens, John B.	08/08/2023

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35.						Sold	11/07/22	K		
36.	Vanguard Value ETF (VTV)	A	Dividend	K	T	Buy	02/09/22	K		
37.	Vanguard FTSE Developed Mkt ETF (VEA)	A	Dividend	K	T	Buy	11/07/22	K		
38.	American Funds EuroPacific Growth Class F2 (AEPFX)	A	Dividend	K	T	Buy (add'l)	11/07/22	K		
39.	American Funds New World Fund Class F2 (NFFFX)		None			Sold	05/16/22	K	B	
40.	Invesco Oppenheimer Developing Markets Y (ODVYX)		None			Sold	05/16/22	K		
41.	Invesco Oppenheimer Intl Small-Mid Company Y (OSMYX)		None			Sold	11/07/22	K		
42.	JP Morgan Large Cap Growth Fund (SEEGX)	B	Dividend	L	T					
43.	MFS Value Fund Class I (MEIIX)	C	Dividend	L	T					
44.	Principal Midcap Fund Class I (PCBIX)		None			Sold	02/09/22	K	D	
45.	American Funds Growth Fund of America Class F2 (GFFFX)	B	Dividend	L	T	Sold (part)	05/16/22	J	A	
46.						Buy (add'l)	11/02/22	J		
47.	American Funds The Investment Company of America Class F2 (ICAFX)	C	Dividend	L	T					
48.	Lord Abbett California Tax Free Fd Cl F (LCFFX)	A	Dividend	M	T	Buy	11/07/22	M		
49.	Eaton Vance California Muni Opportunities Fd Cl I (EICAX)	C	Dividend			Buy	02/09/22	M		
50.						Buy (add'l)	05/16/22	J		
51.						Sold (part)	11/02/22	J		

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52.					Sold	11/07/22	M		
53. Franklin CA Interm Term Tx Fr Inc Adv (FRCZX)	B	Dividend			Sold	02/09/22	M		
54. Account #5 (H)									
55. ScholarShare 2026/2027 Enrollment Portfolio Passive		None	M	T					
56. Account #6 (H)									
57. ScholarShare 2022/2023 Enrollment Portfolio Passive		None	M	T					
58. Account #7 (H)									
59. UBS Insured Sweep Prgm (Cash) (X)	A	Interest	K	T					
60. Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
61. Vanguard Small-Cap ETF (VB)	A	Dividend	J	T					
62. Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T					
63. American Funds New World Fund Class A (NEWFX)	B	Dividend	K	T					
64. American Funds Smallcap World Fund Class A (SMCWX)		None	L	T					
65. American Funds Euro Pacific Growth Fund Class A (AEPGX)	A	Dividend	L	T					
66. American Funds Fundamental Investors Fund Class A (ANCFX)	B	Dividend	L	T					
67. American Funds Growth Fund of America Class A (AGTHX)	C	Dividend	L	T					
68. American Funds Investment Company of America Class A (AIVSX)	A	Dividend	J	T					

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69.	American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
70.	American Funds Bond Funds of America Class A (ABNDX)	B	Dividend	K	T					
71.	Account #8 (H)									
72.	UBS Insured Sweep Prgm (Cash) (X)	A	Interest	K	T					
73.	Qualcomm Common Stock (QCOM)	A	Dividend	J	T					
74.	Vanguard Small-Cap ETF (VB)	A	Dividend	J	T					
75.	Vanguard Mid-Cap ETF (VO)	A	Dividend	K	T					
76.	American Funds New World Fund Class A (NEWFX)	A	Dividend	K	T					
77.	American Funds Smallcap World Fund Class A (SMCWX)		None	L	T					
78.	American Funds Euro Pacific Growth Fund Class A (AEPGX)	A	Dividend	L	T					
79.	American Funds Fundamental Investors Fund Class A (ANCFX)	C	Dividend	L	T					
80.	American Funds Growth Fund of America Class A (AGTHX)	B	Dividend	L	T					
81.	American Funds Capital World Bond Fund Class A (CWBFX)	A	Dividend	K	T					
82.	American Funds Bond Funds of America Class A (ABNDX)	B	Dividend	K	T					

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3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

Name of Person Reporting	Date of Report
Owens, John B.	08/08/2023

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 45 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Owens, John B.	08/08/2023

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544