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
Thomas, Holly A.	U.S. Court of Appeals for the 9th Circuit	05/06/2023
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		
125 S. Grand Ave. Pasadena, CA 91105		

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.	Judge	Los Angeles County Superior Court
2.	Trustee	Trust #1 (reportable assets are listed in Part VII)
3.	Board Member	826LA
4.	Board Member	Western Justice Center
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2016	CalPERS Defined Benefit Plan (inactive/not fully vested; participation terminated in 2022)
2.	2018	California Judges' Retirement System II Plan (not fully vested; participation terminated in 2022)
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.	2022	County of Los Angeles (salary)	$21,600.92
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	SEIU Local 2015 (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.	Yale Law School	April 6-9, 2022	New Haven, CT	Conference and Guest Lecturer	Transportation, meals, lodging
2.	Just the Beginning, a Pipeline Organization	October 20-23, 2022	Chicago, IL	Conference	Transportation, meals, lodging, registration
3.					
4.					
5.					

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Thomas, Holly A.	05/06/2023

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.	Umpqua Bank	Mortgage, Rental Property (Multnomah County, OR)	M
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Thomas, Holly A.	05/06/2023

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	K	T					
3. Rental Property (Multnomah County, OR)	E	Rent	O	W					
4. Great West 2040 Target Date Fund		None			Sold (part)	02/01/22	L		
5.					Sold	02/07/22	J		
6. Great West Stable Value Fund		None			Sold	02/01/22	J		
7. Great West Horizons 2040 Target Date Fund		None			Sold	02/01/22	L		
8. Nationwide Savings Plus Short Term Investment Fund PST		None	J	T					
9. Nationwide Savings Plus Target Date 2040 Fund		None	K	T					
10. Account #1 (H)									
11. American Funds Growth and Income (GAIHX)	A	Dividend	J	T	Buy	02/03/22	J		
12. Sequoia (SEQUX)	A	Dividend	J	T					
13. Account #2 (H)									
14. Pimco Enhanced Short Maturity Active ETF (MINT)	A	Dividend	J	T	Buy	10/07/22	J		
15. Account #3 (H)									
16. Vanguard S&P 500 ETF (VOO)	A	Dividend	K	T	Buy	10/07/22	K		
17. AMG Yacktman I (YACKX)	A	Dividend	J	T	Buy	02/03/22	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
Thomas, Holly A.	05/06/2023

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. Calvert Equity I (CEYIX)	B	Dividend	L	T					
19. Eaton Vance Atlanta Capital Smid-Cap I (EISMX) (X)	C	Dividend	K	T					
20. Invesco Developing Markets R6 (ODVIX)		None			Sold	10/07/22	J		
21. Trillium ESG Global Equity Fund Instl (PORIX)		None			Sold	10/07/22	K	D	
22. Prudential SEIU Afilliates, Officers & EES SUPPL Retirement Savings		None			Sold	09/28/22	J		
23. Account #4 (H)									
24. Charles Schwab Bank (cash)	A	Interest	K	T					
25. New York NY Govt Bond (64966JVB9)	A	Interest			Redeemed	05/12/22	J		
26. Boston MA W/S Comm 4%26 (101029SJ6)	A	Interest	J	T					
27. Orange CA Sani WW 5%28 (68428TCK1)	A	Interest	K	T					
28. S FL Water Management Corp 5%28 (83786PCM0)	A	Interest	J	T					
29. San Fran California 5%29 (79766DSN0)	A	Interest	J	T					
30. Los Angeles Calif 5%29 (544445BT5)	B	Interest	K	T					
31. Orange CA Water 5%29 (68442CAY2)	B	Interest	K	T					
32. OK City OK (678519K32)	A	Interest			Sold	08/01/22	K		
33. Los Angeles Calif D 5%31 (5444954K7)	B	Interest	K	T					
34. San Diego Calif Uni 4%32 (797356CN0)	A	Interest			Sold	08/01/22	K		

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	
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35. N Orange CA 4%32 (661334FJ6)	A	Interest	J	T					
36. Sierra CA JT CCD Bond 4%32 (826239GZ2)	A	Interest			Sold	08/01/22	K		
37. Los Angeles County 5%33 (54466HDU7)	B	Interest	K	T					
38. Milpitas CA USD 5%33 (601670LQ3)	A	Interest			Sold	07/26/22	K		
39. Sunnyvale Calif Fin 4%34 (86754EAL0)	A	Interest			Sold	04/25/22	J		
40. Sonoma CA JCD 4%34 (835569GD0)	A	Interest	K	T	Buy	04/25/22	K		
41. University MD Sys A 4%35 (91440AAP9)	A	Interest	K	T	Buy	08/16/22	K		
42. Met Water Dist S CA 5%35 (59266TQJ3)	A	Interest	K	T					
43. Los Angeles Calif M 5%35 (544587X37)	A	Interest	K	T	Buy	07/27/22	K		
44. California St Var P 5%36 (13063DUP1)	A	Interest			Sold	08/24/22	J		
45. Los Angeles CA W/P 5%36 (544525ZW1)		None	J	T	Buy	08/24/22	J		
46. CT St Special Tax Oblig 4%37 (207758C92)	A	Interest	K	T	Buy	08/16/22	K		
47. San Rafael CA HSD 4%36 (799289MF7)	A	Interest			Sold	07/26/22	K		
48. Los Angeles County 5%38 (54473EXH2)	A	Interest	K	T	Buy	07/29/22	K		
49. Account #5 (H)									
50. Charles Schwab Bank (cash)	A	Interest	M	T					
51. Alphabet Inc (GOOG)		None	J	T					

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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	
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52. Amgen Inc (AMGN)	D	Dividend	M	T					
53. Auto Data Processing (ADP)	C	Dividend	M	T					
54. Johnson & Johnson (JNJ)	A	Dividend	K	T					
55. Vanguard CA Interm Term (VCAIX)	B	Dividend			Sold	10/07/22	L		
56. JPMorgan Ultra Short Municipal Income ETF (JMST)	A	Dividend	M	T	Buy	10/07/22	L		
57. American Funds Fundamental Inv F3 (FUNFX)	B	Dividend	K	T					
58. American Funds Intl Growth and Income (IGAIX)	D	Dividend	M	T					
59. American Funds New World F3 (FNWFX)	B	Dividend	M	T					
60. Becker Value Equity Inst (BVEIX)	E	Dividend	M	T					
61. Eaton Vance Atlanta Capital Smid Cap (EISMX) (X)	D	Dividend	M	T					
62. Eaton Vance Global Macro SMID Cap (Y)									
63. Fidelity Adv New Insights I (FINSX)	A	Dividend			Sold	03/29/22	K	D	
64. MFS International Intrinsic Value I (MINIX)	C	Dividend	K	T					
65. Pax Global Environmental Markets Instl (PGINX)	A	Dividend			Buy	03/29/22	K		
66.					Sold	10/07/22	K		
67. Primecap Odyssey Aggressive Growth (POAGX)	A	Dividend	J	T					
68. Sequoia (SEQUX)		None			Sold	03/29/22	K	C	

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69.	Trillium ESG Global Equity Fund (PORIX)	E	Dividend	N	T					
70.	Vanguard Primecap Core Inv (VPCCX)	B	Dividend	K	T					
71.	Public Storage REIT (PSA)	B	Dividend	K	T					
72.	Account #6 (H)									
73.	my529 Growth Index (UTVGX)		None	J	T					
74.	my529 Total International Stock Index (UTVIX)		None	J	T					
75.	my529 Institutional Index (UTVLX)		None	J	T					
76.	my529 Real Estate Securities (UTDRX)		None	J	T	Sold (part)	04/12/22	J		
77.	my529 US Large Cap Value (UTDLX)		None	K	T	Sold (part)	04/12/22	J		
78.	my529 Emerging Markets Stock Index (UTVEX)		None	J	T					
79.	my529 Mid Cap Index (UTVMX)		None	J	T					
80.	my529 Small Cap Growth Index (UTVKX)		None	J	T					
81.	my529 International Value Factor (UTDIX)		None	J	T					
82.	my529 US Small Cap Value (UTDSX)		None	J	T					
83.	my529 Total International Bond Index (UTVOX)		None	J	T					
84.	my529 International Growth (UTVWX)		None	J	T	Buy (add'l)	04/12/22	J		
85.	my529 Total Bond Market Index (UTVBX)		None	K	T	Buy (add'l)	04/12/22	J		

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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

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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.

Prudential SEIU Afilliates, Officers & EES SUPPL Retirement Savings is an employer managed cash benefit plan; the participant had no underlying investments.

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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/ Holly A. Thomas

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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Washington, D.C. 20544