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
Thomas, Holly A.	U.S. Court of Appeals for the 9th Circuit	04/05/2024
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**
Circuit Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 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	Trust #1 (reportable assets are listed in Part VII)
2.	Board Member	826LA
3.	Board Member	Western Justice Center
4.	Senior Lecturing Fellow	Duke Law School
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.	12/08/23	Duke Law School (teaching income)	$4,500.00
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.	2023	Strategic Actions for a Just Economy (salary)
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.	Duke Law School	November 13-14, 2023	Durham, NC	Teach an Appellate Practice Course	Transportation, meals, lodging
2.					
3.					
4.					
5.					

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.	Umpqua Bank	Mortgage, Rental Property (Multnomah County, OR)	None
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Thomas, Holly A.	04/05/2024

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		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(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.	Rental Property (Multnomah County, OR)	D	Rent			Sold	10/20/23	O	G	
4.	Nationwide Savings Plus Short Term Investment Fund PST (Y)									
5.	Nationwide Savings Plus Target Date 2040 Fund		None			Sold	05/12/23	K	D	
6.	Account #1 (H)									
7.	American Funds Growth and Income (GAIHX)	A	Dividend	J	T	Buy (add'l)	04/19/23	J		
8.	Sequoia (SEQUX)		None	J	T					
9.	Account #2 (H)									
10.	Pimco Enhanced Short Maturity Active ETF (MINT)	A	Dividend	J	T					
11.	Vanguard S&P 500 ETF (VOO)	A	Dividend	K	T					
12.	AMG Yacktman I (YACKX)	A	Dividend	J	T					
13.	Calvert Equity I (CEYIX)	B	Dividend	L	T					
14.	Eaton Vance Atlanta Capital Smid-Cap I (EISMX)	B	Dividend	K	T					
15.	Vanguard Emerg Mkts Sel Stk Inv (VMMSX)	A	Dividend	J	T	Buy	04/19/23	J		
16.	Account #3 (H)									
17.	Charles Schwab Bank (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

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Thomas, Holly A.	04/05/2024

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(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.	Boston MA W/S Comm 4%26 (101029SJ6)	A	Interest	J	T					
19.	Orange CA Sani WW 5%28 (68428TCK1)	A	Interest	K	T					
20.	S FL Water Management Corp 5%28 (83786PCM0)	A	Interest			Sold	11/14/23	J		
21.	San Fran California 5%29 (79766DSN0)	A	Interest			Sold	11/14/23	J		
22.	Los Angeles Calif 5%29 (544445BT5)	B	Interest			Sold	11/14/23	K		
23.	Orange CA Water 5%29 (68442CAY2)	B	Interest			Sold	11/14/23	K		
24.	Los Angeles Calif D 5%31 (5444954K7)	B	Interest	K	T					
25.	N Orange CA 4%32 (661334FJ6)	A	Interest			Sold	11/14/23	J		
26.	Los Angeles County 5%33 (54466HDU7)	B	Interest			Sold	11/14/23	K		
27.	San Fran California 5%33 (79766DVM8)	A	Interest	K	T	Buy	11/21/23	K		
28.	Los Angeles Cnty CA 4%33 (54466HAT3)	A	Interest	K	T	Buy	11/22/23	K		
29.	Sonoma CA JCD 4%34 (835569GD0)	A	Interest	K	T					
30.	California St 5%35 (13063DUC0)	A	Interest	J	T	Buy	01/12/23	J		
31.	Los Angeles Califor 5%35 (544445S26)	A	Interest	K	T	Buy	11/14/23	K		
32.	MT S Antonio CA CCD 5%35 (623040JX1)		None	K	T	Buy	10/10/23	K		
33.	CA Infra & E Dev BK 5%35 (130347AYX2)		None	K	T	Buy	10/06/23	K		
34.	University MD Sys A 4%35 (91440AAP9)	A	Interest			Sold	10/05/23	K		

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35. Met Water Dist S CA 5%35 (59266TQJ3)	A	Interest			Sold	10/06/23	K		
36. Los Angeles Calif M 5%35 (544587X37)	B	Interest			Sold	11/21/23	K		
37. Santa Clara VY CA T 5%36 (80168NJT7)	A	Interest	K	T	Buy	11/15/23	K		
38. Los Angeles CA W/P 5%36 (544525ZW1)	A	Interest	J	T					
39. Met Wtr Dist S CA W 5%38 (59266TVK4)	A	Interest	K	T	Buy	11/01/23	K		
40. CT St Special Tax Oblig 4%37 (207758C92)	A	Interest			Sold	10/27/23	K		
41. MI St Trunk Line Fd 5%38 (5946954G0)	A	Interest	J	T	Buy	08/23/23	J		
42. University Californ 5%39 (91412HPP2)	A	Interest	K	T	Buy	11/15/23	K		
43. Riverside CA Elec 5%39 (768874VN6)		None	K	T	Buy	11/15/23	K		
44. San Fran California 5%39 (79768HHK7)	A	Interest	K	T	Buy	11/01/23	K		
45. Los Angeles County 5%38 (54473EXH2)	A	Interest			Sold	11/01/23	K		
46. Account #4 (H)									
47. Charles Schwab Bank (cash)	A	Interest	L	T					
48. Schwab Treasury Obligations Money Fund (SNOXX) (cash eq.)	B	Dividend	K	T	Buy	03/17/23	L		
49.					Sold (part)	09/12/23	K		
50. Alphabet Inc (GOOG)		None	K	T					
51. Amgen Inc (AMGN)	D	Dividend	M	T					

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52. Auto Data Processing (ADP)	C	Dividend	M	T					
53. Johnson & Johnson (JNJ)	A	Dividend	K	T					
54. JPMorgan Ultra Short Municipal Income ETF (JMST)	C	Dividend	L	T	Sold (part)	11/09/23	K	A	
55. Pimco Income Instl (PIMIX)	A	Dividend	K	T	Buy	12/13/23	K		
56. American Funds Fundamental Inv F3 (FUNFX)	C	Dividend	L	T					
57. American Funds Intl Growth and Income (IGAIX)	C	Dividend	M	T	Sold (part)	11/09/23	K	D	
58. American Funds New World F3 (FNWFX)	D	Dividend	M	T					
59. Becker Value Equity Inst (BVEIX)	E	Dividend	M	T	Sold (part)	11/09/23	K	E	
60. Eaton Vance Atlanta Capital Smid Cap (EISMX)	C	Dividend	M	T					
61. MFS International Intrinsic Value I (MINIX)	C	Dividend	K	T					
62. Primecap Odyssey Aggressive Growth (POAGX)	A	Dividend	J	T					
63. Trillium ESG Global Equity Fund (PORIX)	E	Dividend	N	T					
64. Vanguard Primecap Core Inv (VPCCX)	B	Dividend	K	T					
65. Public Storage REIT (PSA)	A	Dividend	K	T					
66. Account #5 (H)									
67. my529 Growth Index (UTVGX)		None	J	T					
68. my529 Total International Stock Index (UTVIX)		None	J	T					

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69. my529 Institutional Index (UTVLX)		None	J	T					
70. my529 Real Estate Securities (UTDRX)		None	J	T	Buy (add'l)	04/12/23	J		
71. my529 US Large Cap Value (UTDLX)		None	K	T					
72. my529 Emerging Markets Stock Index (UTVEX)		None	J	T					
73. my529 Mid Cap Index (UTVMX)		None	J	T					
74. my529 Small Cap Growth Index (UTVKX)		None	J	T					
75. my529 International Value Factor (UTDIX)		None	J	T	Sold (part)	04/12/23	J		
76. my529 US Small Cap Value (UTDSX)		None	J	T					
77. my529 Total International Bond Index (UTVOX)		None	J	T					
78. my529 International Growth (UTVWX)		None	J	T					
79. my529 Total Bond Market Index (UTVBX)		None	K	T					

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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.

Parenthetical numbers in Part VII are CUSIP numbers.

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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/ 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. § 13106)

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