AO 10
Rev. 1/2022

# 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 |
|---|---|---|
| Thomas, Sidney R. | Ninth Circuit Court of Appeals | 05/21/2022 |
| **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<br>☐ Initial ☑ Annual ☐ Final | 01/01/2021 **to** 12/31/2021 |
| | **5b.** ☐ Amended Report | |
| **7. Chambers or Office Address** | | |
| P.O. Box 31478<br>Billings MT 59107-1478 | | |

***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. | Director | Ninth Circuit Historical Society |
| 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. | | | |
| 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. | 2021 | Self-employed attorney |
| 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. | | | | | |
| 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. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Thomas, Sidney R.** | 05/21/2022 |

## 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. | Northwest Billings Associates (Partnership) | D | Distribution | J | W | | | | | |
| 2. | UBS USA Deposit Account | A | Interest | J | T | | | | | |
| 3. | | | | | | | | | | |
| 4. | AB Intermediate Muni Fund (AIDYX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 5. | AB Large Cap Growth Fund (APGYX) (Investment Account) | | None | J | T | Sold (part) | 05/17/21 | J | C | |
| 6. | Amer Funds Smallcap World Fund Class F2 (MFAMWZ) (Investment Account) | A | Dividend | J | T | Buy | 05/17/21 | J | | |
| 7. | Blackrock Emerging Markets Fund Inc (MADCX) Investment Account) | A | Dividend | J | T | Buy | 05/17/21 | J | | |
| 8. | | | | | | Sold | 12/21/21 | J | D | |
| 9. | Blackrock Mid-cap Growth EQ (CMGIX) (Investment Account) | | None | | | Sold | 05/17/21 | J | D | |
| 10. | Clearbridge International Growth (LMGNX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 11. | Columbia Stragic Muni Income Fund (CATAX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 12. | First Trust NASDDAQ Cybersecurity EFT (CIBR) (Investment Account) | A | Dividend | J | T | Sold (part) | 05/17/21 | J | B | |
| 13. | First Trust ISE Cloud Index (SKYY) (Investment Account} | A | Dividend | J | T | Sold (part) | 05/17/21 | J | B | |
| 14. | iShares NASDAQ Biotech EFT (IBB) (Investment Account) | A | Dividend | | | Sold | 05/17/21 | J | B | |
| 15. | Janus Henderson Global Equity Income Fund)(HFQIX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 16. | JP Morgan Equity Income Fund (HLIEX) (Investment Account) | A | Dividend | J | T | Sold (part) | 05/17/21 | J | B | |
| 17. | Bond Fund of America Fund Class F2 (LTEFX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | 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 |
|---|---|
| **Thomas, Sidney R.** | 05/21/2022 |

## 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 Mid-Cap Value (MCVIX) (Investment Account) | A | Dividend | J | T | Buy | 05/17/21 | J | | |
| 19. | Nuveen High Yield Muni Bond (NHMRX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 20. | Nuveen Short Duration High Yield Muni Fund (NVHIX)(Investment Account) | | None | | | Sold | 05/17/21 | J | A | |
| 21. | Pimco Stocks Plus Int Fund (PIUHX) (Investment Account) | | None | | | Sold | 05/17/21 | J | D | |
| 22. | Robo Global ETF (ROBO) (Investment Account) | A | Dividend | J | T | Sold (part) | 05/17/21 | J | B | |
| 23. | Vanguard Mid-Cap Index Fund (VIMAX) (Investment Account) | A | Dividend | J | T | Buy (add'l) | 05/17/21 | J | | |
| 24. | Vanguard S&P 500 ETF (VOO) (Investment Account) | A | Dividend | J | T | Sold (part) | 05/17/21 | J | D | |
| 25. | Vanguard Small Cap Value Index Fund (VSIAX) (Investment Account) | A | Dividend | J | T | Buy | 05/17/21 | J | | |
| 26. | American Funds New World Fund (NFFFX) (Investment Account) | | None | J | T | Buy | 05/17/21 | J | | |
| 27. | | | | | | | | | | |
| 28. | AB Large Cap Growth Fund (APGYX) (IRA Account) | B | Dividend | J | T | Sold (part) | 05/18/21 | J | A | |
| 29. | Alpha Centric Income Opp Fund (IOFIX) (IRA Account) | B | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 30. | American Funds Small Cap World Fund F@ (SMCFX) (IRA Account) | A | Dividend | J | T | Sold (part) | 05/18/21 | J | A | |
| 31. | Blackrock Emerging Markets Fund Inc (MADCX) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 32. | Clearbridge Intrntl Growth Fund (LMGNX (IRA Account) | A | Dividend | J | T | Sold (part) | 05/15/21 | J | A | |
| 33. | Frist Trust NASDAQ Cybersecurity EFT (CIBR) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 34. | First Trust ISE EFT (SKYY) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | 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 | |
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☐ NONE *(No reportable income, assets, or transactions.)*

| A<br>Description of Assets (including trust assets)<br><br>Place "(X)" after each asset exempt from prior disclosure | B<br>Income during reporting period<br>(1) Amount Code 1 (A-H) | B<br>(2) Type (e g , div , rent, or int ) | C<br>Gross value at end of reporting period<br>(1) Value Code 2 (J-P) | C<br>(2) Value Method Code 3 (Q-W) | D<br>Transactions during reporting period<br>(1) Type (e g , buy, sell, redemption) | D<br>(2) Date mm/dd/yy | D<br>(3) Value Code 2 (J-P) | D<br>(4) Gain Code 1 (A-H) | |
|---|---|---|---|---|---|---|---|---|---|
| 35. Janus Henderson Equity Income Fund (HFQIX) (IRA Account) | A | Dividend | | | Sold | 05/18/21 | J | B | |
| 36. JP Morgan Core Bond Fund (WOBDX) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 37. | | | | | Sold | 11/23/21 | J | B | |
| 38. JP Morgan Equity Income Fund (HLIEX) (IRA Account) | A | Dividend | J | T | Sold (part) | 05/18/21 | J | B | |
| 39. Lord Abbett Short Duration Income (LDLFX) Fund (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 40. MFS Mid-Cap Value (MCVIX) (IRA Account) | A | Dividend | J | T | Sold (part) | 05/18/21 | J | A | |
| 41. Pimco Income Fund (PONPX) (IRA Account) | B | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 42. ROBO Global EFT (ROBO) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 43. Vanguard Mid-Cap Index Fund (VIMAX) (IRA Account) | A | Dividend | J | T | Sold (part) | 05/18/21 | J | A | |
| 44. Vanguard S&P 500 Fund EFT (VOO) (IRA Account) | A | Dividend | J | T | Sold (part) | 05/18/21 | J | A | |
| 45. Vanguard Small Cap Value Index Admiral (VSIAZ) (IRA Account) | A | Dividend | J | T | Buy (add'l) | 05/18/21 | J | | |
| 46. Lord Abbett Floating Rate Fund Class F (LFRFX) (IRA Account) | A | Dividend | J | T | Buy | 05/18/21 | J | | |
| 47. American Funds New World Fund (NFFFX) (IRA Account) | | None | J | T | Buy | 12/21/21 | J | | |
| 48. | | | | | | | | | |
| 49. U.S. Bank Accounts | A | Interest | J | T | | | | | |
| 50. Wells Fargo Account | A | Interest | J | T | | | | | |
| 51. Real Property - Alfalfa County Oklahoma | A | Distribution | J | W | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 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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## 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 | | | | |
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| 52. Mineral Interest - Alfalfa County Oklahoma | C | Royalty | J | T | | | | | |
| 53. Janus Short Term BD (JABX) (Second IRA Account) | A | Dividend | L | T | | | | | |
| 54. Wells Fargo Advtg Short Term Bd Inv (SSTVX) (Second IRA Account) | A | Dividend | K | T | | | | | |
| 55. Vanguard Growth (VUG) (Second IRA Account) | B | Dividend | | | Sold | 09/07/21 | L | E | |
| 56. Ishares Edge MSCI USA Quality Factor ETF (QUAL) (Second IRA Account) | C | Dividend | N | T | | | | | |
| 57. Vanguard Large Cap ETF IV (VV) (Second IRA Account) | D | Dividend | | | Sold | 09/07/21 | L | E | |
| 58. Vanguard Short Term Treasury (VGSH) (Second IRA Account) | A | Dividend | | | Sold | 08/20/21 | M | E | |
| 59. Vanguard Short Term Bond Index (VBISX) (Second IRA Account) | D | Dividend | L | T | | | | | |
| 60. Graniteshares Xout US Large Cap ETF (XOUT) (Second IRA Account) | A | Dividend | L | T | | | | | |
| 61. ARK Genomic Revolution ETF (ARKG) (Second IRA Account) | A | Dividend | | | Sold | 03/29/21 | K | E | |
| 62. iShares Russell 1000 Growth ETF (IWF) (Second IRA Account) | A | Dividend | L | T | | | | | |
| 63. Invesco NASDAQ Next Gen 100 ETF (QQQJ) (Second IRA Account) | A | Dividend | L | T | | | | | |
| 64. SPDR Fund Consumer Stapes ETF (XLP) (Second IRA Account) | B | Dividend | L | T | | | | | |
| 65. Select Sectory Health Care SPDR ETF (XLV) (Second IRA Account) | A | Dividend | L | T | | | | | |
| 66. Select Sector Industrial SPDR EFT (XLI) (Second IRA Account) | A | Dividend | K | T | Buy | 03/09/21 | K | | |
| 67. Vanguard S&P 500 Value ETF (VOOV) (Second IRA Account) | A | Dividend | K | T | Buy | 03/29/21 | K | | |
| 68. Ishares Iboxx Invt Grade Bond ETF (LQD) (Second IRA Account) | A | Dividend | L | T | Buy | 08/31/21 | L | | |

| | | | | | |
|---|---|---|---|---|---|
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| 69. | Ishares Tips Bond ETF (TIP) (Second IRA Account) | B | Dividend | M | T | Buy | 08/31/21 | M | | |
| 70. | Vanguard Short-term Bond ETF (BSV) | A | Dividend | M | T | Buy | 09/01/21 | M | | |

| | | | | | | |
|---|---|---|---|---|---|---|
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| **Thomas, Sidney R.** | 05/21/2022 |

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

This report does not contain listing of assets and property that are solely owned by my spouse or children. Those assets were not derived from my assets, income, or activities. I have no control over those assets. I possess no interest, income or benefit from any of the omitted assets, nor do I expect to receive any interest or benefit from them. I have no personal knowledge of the details of any of the omitted assets, except that it has been represented to me that none of the assets consist of common stocks.

In Part VII, several funds are listed twice because they were purchased in separate investment accounts. These investments are differentiated as "Investment Account," "IRA Account," or "Second IRA Account."

| Name of Person Reporting | Date of Report |
|---|---|
| **Thomas, Sidney R.** | 05/21/2022 |

## 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/ Sidney R. 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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