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
Thomas, Sidney R.	Ninth Circuit Court of Appeals	06/08/2023
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	01/01/2022 **to** 12/31/2022
	5b. ☐ Amended Report	
7. Chambers or Office Address		
P.O. Box 31478 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.	2022	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.	06/08/2023

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (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.	INVESTMENT ACCOUNT									
5.	AB Intermediate Muni Fund (AIDYX)	A	Dividend	J	T	Sold (part)	04/06/22	J	A	
6.						Sold (part)	06/15/22	J	A	
7.	AB Large Cap Growth Fund (APGYX)		None	J	T	Buy (add'l)	04/06/22	J		
8.						Sold (part)	06/15/22	J	A	
9.	Amer Funds Smallcap World Fund Class F2 (MFAMWZ))	A	Dividend			Sold	04/06/22	J	B	
10.	American Funds New World Fund (NFFFX)		None			Sold (part)	04/06/22	J	B	
11.						Buy (add'l)	06/15/22	J		
12.						Sold	08/30/22	J	A	
13.	Blackrock Strategic Municipal Fund (MAMTX)	A	Dividend	J	T	Buy	04/07/22	J		
14.						Sold (part)	06/15/22	J	A	
15.	Clearbridge International Growth (LMGNX)	A	Dividend	J	T	Sold (part)	04/06/22	J	A	
16.						Buy (add'l)	06/15/22	J		
17.	Cohen & Steers Low Duration Pref Fund (OPXIX)	A	Distribution	J	T	Buy	04/06/22	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		

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.						Sold (part)	06/15/22	J	A	
19.	Columbia Stragic Muni Income Fund (CATAX)	A	Dividend			Sold	04/06/22	J	A	
20.	Dodge & Cox Global Stock Fund (DODWX)	A	Dividend	J	T	Buy	08/30/22	J		
21.	First Trust NASDDAQ Cybersecurity EFT (CIBR)	A	Dividend			Sold (part)	04/06/22	J	A	
22.						Buy (add'l)	06/15/22	J		
23.						Sold	11/07/22	J	A	
24.	First Trust ISE Cloud Index (SKYY)	A	Dividend			Buy (add'l)	04/06/22	J		
25.						Buy (add'l)	06/16/22	J		
26.						Sold	11/07/22	J		
27.	Grant Park Multi Alternative Strats Fund (GPAIX)	A	Dividend	J	T	Buy	06/15/22	J		
28.	Invesco S&O 500 Equal Weight ETF (RSP)	A	Dividend	J	T	Buy	11/03/22	J		
29.	Janus Henderson Global Equity Income Fund)(HFQIX)	A	Dividend			Buy (add'l)	04/06/22	J		
30.						Sold (part)	06/15/22	J	A	
31.						Sold	08/30/22	J	A	
32.	JP Morgan Equity Income Fund (HLIEX)	A	Dividend	J	T	Buy (add'l)	04/06/22	J		
33.						Sold (part)	06/15/22	J	A	
34.						Buy (add'l)	08/30/22	J		

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35. Limited Tern Bond Fund of America Fund Class F2 (LTEFX)	A	Dividend	J	T	Sold (part)	04/06/22	J	B	
36.					Sold (part)	06/15/22	J	A	
37. Lord Abbett Floating Rate Fund (LFREX)	A	Dividend	J	T	Buy	04/07/22	J		
38.					Sold (part)	06/15/22	J	A	
39. MFS Mid-Cap Value (MCVIX))	A	Dividend	J	T	Buy (add'l)	04/06/22	J		
40.					Sold (part)	06/15/22	J	A	
41. Nuveen High Yield Muni Bond (NHMRX)	A	Dividend	J	T	Sold (part)	04/06/22	J	A	
42.					Sold (part)	06/15/22	J	A	
43. Robo Global ETF (ROBO)	A	Dividend			Buy (add'l)	04/06/22	J		
44.					Buy (add'l)	06/15/22	J		
45.					Sold	11/02/22	J	A	
46. Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend	J	T	Sold (part)	04/06/22	J	A	
47.					Sold (part)	06/15/22	J	A	
48. Vanguard S&P 500 ETF (VOO)	A	Dividend	J	T	Buy (add'l)	04/06/22	J		
49.					Sold (part)	06/15/22	J	A	
50. Vanguard Small Cap Value Index Fund (VSIAX))	A	Dividend	J	T	Buy (add'l)	04/06/22	J		
51.					Sold (part)	06/15/22	J	A	

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52.									
53. FIRST IRA ACCOUNT									
54. AB Large Cap Growth Fund (APGYX)	B	Dividend	J	T	Buy (add'l)	04/08/22	J		
55. Alpha Centric Income Opp Fund (IOFIX)	B	Dividend			Sold (part)	04/08/22	J	C	
56.					Sold	06/06/22	J	A	
57. American Funds Small Cap World Fund F@ (SMCFX))	A	Dividend			Sold	04/11/22	J	B	
58. American Funds New World Fund (NFFFX)		None			Sold (part)	04/08/22	J	B	
59.					Sold	08/30/22	J	A	
60. Blackrock Emerging Markets Fund Inc (MADCX)		None			Sold	01/21/22	J	A	
61. Clearbridge Intrntl Growth Fund (LMGNX	A	Dividend	J	T	Sold (part)	04/08/22	J	B	
62. Cohen & Steers Low Duration Pref Fund (LPXIX)	A	Dividend	J	T	Buy	04/08/22	J		
63. Dodge & Cox Global Stock Fund (DODWX)	A	Dividend	J	T	Buy	08/30/22	J		
64. Frist Trust NASDAQ Cybersecurity EFT (CIBR))	A	Dividend			Sold (part)	04/08/22	J	A	
65.					Sold	11/30/22	J	A	
66. First Trust ISE EFT (SKYY)	A	Dividend			Buy (add'l)	04/08/22	J		
67.					Sold	11/11/22	J	A	
68. Grant Park Multi Alternative Strats Fund (GPAIX)	A	Dividend	J	T	Buy	06/15/22	J		

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69. Invesco S&P 500 Equal Weight ETF (RSP)	A	Dividend	J	T	Buy	11/03/22	J		
70. Janus Henderson Global Equity Income Fund (HFQIX)	A	Dividend			Buy	04/08/22	J		
71.					Sold	08/30/22	J	A	
72. JP Morgan Equity Income Fund (HLIEX))	A	Dividend	J	T	Buy (add'l)	04/11/22	J		
73.					Buy (add'l)	08/30/22	J		
74. Lord Abbett Short Duration Income (LDLFX) Fund	A	Dividend	J	T	Sold (part)	04/08/22	J	B	
75. Lord Abbett Floating Rate Fund Class F (LFRFX)	A	Dividend	J	T	Buy (add'l)	04/08/22	J		
76. MFS Mid-Cap Value (MCVIX)	A	Dividend	J	T	Buy (add'l)	04/08/22	J		
77. Pimco Income Fund (PONPX)	B	Dividend	J	T	Sold (part)	04/08/22	J	D	
78. ROBO Global EFT (ROBO)	A	Dividend			Buy (add'l)	04/08/22	J		
79.					Sold	11/03/22	J	A	
80. Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend	J	T	Sold (part)	04/08/22	J		
81. Vanguard S&P 500 Fund EFT (VOO)	A	Dividend	J	T	Buy (add'l)	04/08/22	J		
82. Vanguard Small Cap Value Index Admiral (VSIAZ)	A	Dividend	J	T	Buy (add'l)	04/08/22	J		
83.									
84. U.S. Bank Accounts	A	Interest	J	T					
85. Wells Fargo Account	A	Interest	J	T					

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86.	Real Property - Alfalfa County Oklahoma	A	Distribution	J	W					
87.	Mineral Interest - Alfalfa County Oklahoma	C	Royalty	J	T					
88.										
89.	SECOND IRA ACCOUNT									
90.	Janus Short Term BD (JABX)	A	Dividend			Sold	05/09/22	L	A	
91.	Allspring Short Term Bd Inv (SSTVX) f/k/a Wells Fargo Advtg Short Term	A	Dividend			Sold	05/09/22	K	A	
92.	Ishares Edge MSCI USA Quality Factor ETF (QUAL)	C	Dividend	M	T					
93.	Vanguard Short Term Bond Index (VBISX)	B	Dividend			Sold	05/09/22	N	A	
94.	Graniteshares Xout US Large Cap ETF (XOUT)	A	Dividend			Sold	04/18/22	L	D	
95.	iShares Russell 1000 Growth ETF (IWF)	A	Dividend	L	T					
96.	Invesco NASDAQ Next Gen 100 ETF (QQQJ)	A	Dividend			Sold	01/25/22	L	A	
97.	SPDR Fund Consumer Stapes ETF (XLP)	A	Dividend			Sold	09/26/22	L	D	
98.	Select Sectory Health Care SPDR ETF (XLV)	A	Dividend			Sold	09/26/22	L	D	
99.	Select Sector Industrial SPDR EFT (XLI)	A	Dividend			Sold	05/18/22	K	A	
100.	Vanguard S&P 500 Value ETF (VOOV)	A	Dividend			Sold	09/01/22	K	A	
101.	Ishares Iboxx Invt Grade Bond ETF (LQD)	A	Dividend			Sold	01/18/22	L	A	
102.	Ishares Tips Bond ETF (TIP)	B	Dividend			Sold	05/03/22	M	A	

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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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
103. Vanguard Short-term Bond ETF (BSV)	A	Dividend			Sold	05/03/22	M	A	
104. Vanguard Growth ETF (VUG)	B	Dividend	M	T	Buy	01/25/22	M		
105. Vangaurd Large CapETFIV (VV)	D	Dividend	N	T	Buy	01/25/22	N		
106. Schwab Treasury Oblig Money Inv (SNOXX)	C	Dividend	N	T	Buy	01/25/22	N		
107. Pacer US Cash Cow 100 ETF (COWZZ)	A	Dividend			Buy	03/22/22	L		
108.	A	Dividend			Sold	04/18/22	L	A	
109. Ishares US Aerospace Defense ETF (ITA)	A	Dividend			Buy	07/20/22	L		
110.					Sold	09/01/22	L	A	
111. Pimco Enhanced Shrt Maturity Actv ETF (MINT)	A	Dividend			Buy	02/11/22	K		
112.	A	Dividend			Sold	06/09/22	K	A	
113. Schwab Short Term US Treasury ETF (SCHO)	A	Dividend			Buy	02/11/22	K		
114.	A	Dividend			Sold	05/03/22	K	A	
115. Ishares Short Treasury Bond ETF (SHV)	A	Dividend			Buy	02/11/22	K		
116.					Sold	05/18/22	K	A	
117. US Treasury 1.375% 02/15/2023 912828TY6	A	Interest	M	T	Buy	05/12/22	M		
118. US Treasury NT 0.25%06/24UST NOTE DUE 06/15/24 91282CCG4	A	Interest	M	T	Buy	05/12/22	M		
119. US Treasury NT 0.125%07/23UST NOTE DUE 07/31/23 91282CCN9	A	Interest	M	T	Buy	05/12/22	M		

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.	06/08/2023

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. US Treasury NT 0.125%08/23UST NOTE DUE 08/15/23 91282CAF8	A	Interest	J	T	Buy	05/12/22	J		
121. US Treasury 1.625% 11/15/2022 912828TY6	A	Interest			Buy	05/11/22	M		
122.	B	Interest			Redeemed	11/15/22	M	A	

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.	06/08/2023

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. 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 in different secctions labeled "Investment Account," "IRA Account," or "Second IRA Account."

Name of Person Reporting	Date of Report
Thomas, Sidney R.	06/08/2023

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/ 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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