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, Sidney R.	Ninth Circuit Court of Appeals	06/20/2024
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		
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.	2023	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.	06/20/2024

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 (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.									
6. AB Intermediate Muni Fund (AIDYX)	A	Dividend	J	T	Buy (add'l)	02/09/23	J		
7.					Buy (add'l)	03/17/23	J		
8. AB Large Cap Growth Fund (APGYX)		None			Sold	03/16/23	J	A	
9. Blackrock Strategic Municipal Fund (MAMTX)	A	Dividend			Buy (add'l)	03/17/23	J		
10.					Sold	08/03/23	J	A	
11. Catalyst/Milburn Hedge Strategy Fund Class 1 (MBXIX)	A	Dividend	J	T	Buy	03/17/23	J		
12. Clearbridge International Growth (LMGNX)	A	Dividend	J	T	Buy (add'l)	03/17/23	J		
13. Cohen & Steers Low Duration Pref Fund (OPXIX)	A	Distribution			Sold	02/08/23	J	A	
14. Dodge & Cox Global Stock Fund (DODWX)	A	Dividend			Sold	03/17/23	J	A	
15. First Eagle Small Cap Opportunity Fund (FESCX)	A	Dividend	J	T	Buy	06/06/23	J		
16. Grant Park Multi Alternative Strats Fund (GPAIX)	A	Dividend			Sold (part)	03/16/23	J	A	
17.					Sold	10/27/23	J	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.	06/20/2024

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 (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.	Invesco AMT-Free Municipal Fund (LTEFX)	A	Dividend	J	T	Buy	08/03/23	J		
19.	Invesco S&O 500 Equal Weight ETF (RSP)	A	Dividend	J	T	Sold (part)	03/16/23	J	A	
20.	Janus Henderson Global Equity Income Fund Class 1 (HFQIX)	A	Dividend	J	T	Buy	03/17/23	J		
21.	JP Morgan Equity Income Fund (HLIEX)	A	Dividend	J	T	Sold (part)	03/16/23	J	A	
22.	Limited Tern Bond Fund of America Fund Class F2 (LTEFX)	A	Dividend			Buy (add'l)	03/17/23	J		
23.						Sold	08/03/23	J	A	
24.	Lord Abbett Floating Rate Fund (LFREX)	A	Dividend			Sold	03/16/23	J	A	
25.	Matthews Emerging Markets Small Companies Fund (MSMLX)	A	Dividend	J	T	Buy	03/17/23	J		
26.	MFS Mid-Cap Value (MCVIX))	A	Dividend	J	T	Sold (part)	03/16/23	J	A	
27.	Nuveen High Yield Muni Bond (NHMRX)	A	Dividend	J	T	Buy (add'l)	03/17/23	J		
28.	UBS Government Money Market Investments Fund (PCEXX)	A	Dividend	J	T	Buy	10/30/23	J		
29.	Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend	J	T	Sold (part)	03/16/23	J	A	
30.	Vanguard S&P 500 ETF (VOO)	A	Dividend	J	T	Sold (part)	03/16/23	J	A	
31.	Vanguard Small Cap Value Index Fund (VSIAX))	A	Dividend			Sold (part)	03/16/23	J	A	
32.						Sold	06/06/23	J	A	
33.										
34.	FIRST IRA ACCOUNT									

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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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)	
35.	AB Large Cap Growth Fund (APGYX)	B	Dividend	J	T					
36.	American S Mortgage F-2 FBOID (MFAFX)	A	Dividend	J	T	Buy (add'l)	03/20/23	J		
37.	Catalyst/Milburn Hedge Strategy Fund Class I (MBXIX)	A	Dividend	J	T	Buy	03/21/23	J		
38.	Clearbridge Intrntl Growth Fund (LMGNX)	A	Dividend	J	T	Buy (add'l)	03/20/23	J		
39.	Cohen & Steers Low Duration Pref Fund (LPXIX)	A	Dividend			Sold	02/08/23	J	A	
40.	Dodge & Cox Global Stock Fund (DODWX)	A	Dividend			Sold	03/20/23	J	D	
41.	First Eagle Small Cap Opportunity Fund (FESCX)	A	Dividend	J	T	Buy	06/06/23	J		
42.	Grant Park Multi Alternative Strats Fund (GPAIX)	A	Dividend			Sold (part)	03/20/23	J	C	
43.						Sold	10/30/23	J	C	
44.	Invesco S&P 500 Equal Weight ETF (RSP)	A	Dividend			Sold (part)	03/20/23	J	A	
45.	Janus Henderson Global Equity Income Fund (HFQIX)	A	Dividend	J	T	Buy	03/21/23	J		
46.	JP Morgan Equity Income Fund (HLIEX))	A	Dividend	J	T	Sold (part)	03/20/23	J	B	
47.	Loomis Sayles Investment Grade Bod Class Y (LSIIX)	A	Dividend	J	T	Buy	01/11/23	J		
48.						Buy (add'l)	03/20/23	J		
49.	Lord Abbett Short Duration Income (LDLFX) Fund	A	Dividend	J	T	Buy (add'l)	03/20/23	J		
50.	Lord Abbett Floating Rate Fund Class F (LFRFX)	A	Dividend			Sold	01/11/23	J	C	
51.	Mathews Emerging Markets Companies Fund (MSMLX)	A	Dividend	J	T	Buy	03/21/23	J		

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52.	MFS Mid-Cap Value (MCVIX)	A	Dividend	J	T	Sold (part)	03/20/23	J	B	
53.	Pimco Income Fund (PONPX)	B	Dividend	J	T	Buy (add'l)	03/21/23	J		
54.	UBS Government Money Market Class P (PCEXX)	A	Dividend	J	T	Buy	10/30/23	J		
55.	Vanguard Mid-Cap Index Fund (VIMAX)	A	Dividend	J	T	Sold (part)	03/20/23	J	A	
56.	Vanguard S&P 500 Fund EFT (VOO)	A	Dividend			Sold	03/20/23	J	B	
57.	Vanguard Small Cap Value Index Admiral (VSIAZ)	A	Dividend			Sold	03/20/23	J	A	
58.										
59.	U.S. Bank Accounts	A	Interest	J	T					
60.	Wells Fargo Account	A	Interest	J	T					
61.	Real Property - Alfalfa County Oklahoma	A	Distribution	J	W					
62.	Mineral Interest - Alfalfa County Oklahoma	C	Royalty	J	T					
63.										
64.	SECOND IRA ACCOUNT									
65.	iShares Russell 1000 Growth ETF (IWF)	A	Dividend	L	T					
66.	Vanguard Growth ETF (VUG)	B	Dividend	N	T	Buy (add'l)	06/02/23	K		
67.	Ishares Edge MSCI USA Quality Factor ETF (QUAL)	C	Dividend	M	T	Buy (add'l)	06/02/23	K		
68.	Vangaurd Large CapETFIV (VV)	A	Dividend	K	T	Buy (add'l)	06/02/23	K		

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69. Schwab Treasury Oblig Money Inv (SNOXX)	D	Dividend	L	T	Sold (part)	01/19/23	N		
70. SPDR Industrial Sector (XU)	A	Dividend	K	T	Buy	06/02/23	K		
71. S&P High Income (SPYI)	C	Dividend	M	T	Buy	06/02/23	M		
72. S&P 500 (VOO)	A	Dividend	K	T	Buy	06/02/23	K		
73. US Treas NT 912796Z51 Due 8/31/23	A	Interest			Buy	03/03/23	M		
74.					Redeemed	08/31/23	M		
75. US Trea NT 912797FL6 Due 11/24/23	A	Interest			Buy	05/22/23	M		
76.					Redeemed	11/24/23	M		
77. US Treasury NT 0.25%06/24 91282CCG4	A	Interest	M	T					
78. US Treas NT 9912797GX9 Due 3/14/24	A	Interest	N	T	Buy	09/18/23	N		
79. US Treas NT 912828XT2 Due 5/31/24	B	Interest	M	T	Buy	09/01/23	M		
80. US Treas NT 912828YM6 Due 10/31/24	A	Interest	M	T	Buy	11/28/23	M		
81. SPDR Fund Consumer Staples ETF (XLP)	B	Dividend			Buy	06/26/23	L		
82.					Sold	10/16/23	L	A	
83. SPDR Select Sector Health Care (XLV)	A	Dividend			Buy	06/26/23	L		
84.					Sold	10/16/23	L	A	

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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."

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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/ 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
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544