| AO 10 Rev. 1/2011 |
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# FINANCIAL DISCLOSURE REPORT
## FOR CALENDAR YEAR 2010

*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 |
|---|---|---|
| Graber, Susan P. | U.S. Court of Appeals 9th Circuit | 05/05/2011 |
| 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 |
| U.S. Circuit Judge - Active | ☐ Nomination, Date<br>☐ Initial ☑ Annual ☐ Final<br>5b. ☐ Amended Report | 01/01/2010 to 12/31/2010 |
| 7. Chambers or Office Address | 8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. | |
| The Pioneer Courthouse<br>700 SW 6th Ave<br>Portland OR 97204 | Reviewing Officer_______________ Date_______ | |

***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. Sign on last page.***

## I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions.)*

☑ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

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

☐ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | 1988 | Oregon Public Employee's Retirement Systems (PERS) with former employer when I was a state court judge. (Statutorily defined benefits, no control) |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Graber, Susan P. | 05/05/2011 |

## 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. | | | |
| 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. | 2010 | Portland General (retirement income) |
| 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. | George Washington Univ. Law School | 1/27-29/2010 | Washington DC | Van Vleck Moot Court Finals | Travel, food and lodging |
| 2. | University of Texas | 3/4-5/2010 | Austin, TX | Univ. of Texas Judicial Clerk Workshop | Travel, food and lodging |
| 3. | National Association of Attorneys General | 6/17-18/2010 | Washington DC | 2010 State Solicitors & Appellate Chiefs Conference | Travel, food and lodging |
| 4. | | | | | |
| 5. | | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| Graber, Susan P. | 05/05/2011 |

## 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. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

# FINANCIAL DISCLOSURE REPORT


| Name of Person Reporting | Date of Report |
|---|---|
| Graber, Susan P. | 05/05/2011 |

## 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. Description of Assets (including trust assets) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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. | Charles Schwab Cash Reserves #1 | A | Dividend | J | T | | | | | |
| 2. | Charles Schwab Cash Reserves #2 | A | Dividend | J | T | | | | | |
| 3. | Charles Schwab Cash Reserves #3 | A | Dividend | J | T | | | | | |
| 4. | Oregon Savings Growth Plan | | None | K | T | | | | | |
| 5. | PERS account (see descript. in Part II (1) | | None | N | W | | | | | |
| 6. | [redacted] Farm LLC - appraisal dated 5/28/98 | D | Distribution | M | Q | | | | | |
| 7. | IRA #1 reported in the aggregate | E | Dividend | | | | | | | |
| 8. | --Vanguard Short-Term Bond Index Fund | | | M | T | | | | | |
| 9. | --Vanguard 500 Index Fund | | | L | T | | | | | |
| 10. | --Vanguard Mid-Cap Index Fund | | | L | T | | | | | |
| 11. | --Vanguard Total Stock Market Fund | | | N | T | | | | | |
| 12. | --Vanguard GNMA Fund | | | M | T | | | | | |
| 13. | --Janus Overseas Fund | | | L | T | | | | | |
| 14. | IRA # 2 reported in the aggregate | E | Dividend | | | | | | | |
| 15. | --Vanguard Short-Term Bond Index Fund | | | M | T | | | | | |
| 16. | --Enron Common Stock | | | J | T | | | | | |
| 17. | --Schwab US Treasury Money Market Fund | | | | | Sold (part) | 03/09/10 | 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 | |
| | U =Book Value | V =Other | W =Estimated | | |

| Name of Person Reporting | Date of Report |
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## 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. Description of Assets (including trust assets) | B. Income during reporting period | | C. Gross value at end of reporting period | | D. 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. | --Schwab US Treasury Money Market Fund | | | | | Sold (part) | 04/13/10 | J | | |
| 19. | --Schwab US Treasury Money Market Fund | | | | | Buy (add'l) | 08/13/10 | J | | |
| 20. | --Schwab US Treasury Money Market Fund | | | | | Sold (part) | 08/16/10 | K | | |
| 21. | --Schwab US Treasury Money Market Fund | | | | | Buy (add'l) | 11/13/10 | K | | |
| 22. | --Schwab US Treasury Money Market Fund | | | | | Buy (add'l) | 11/19/10 | M | | |
| 23. | --Schwab US Treasury Money Market Fund | | | | | Sold (part) | 12/13/10 | K | | |
| 24. | --Schwab US Treasury Money Market Fund | | | K | T | Sold (part) | 12/30/10 | K | | |
| 25. | --Vanguard GNMA fund | | | N | T | | | | | |
| 26. | --Vanguard Inflation Protected Securities | | | L | T | | | | | |
| 27. | --Vanguard Short Term Federal Fund | | | | | Sold | 11/17/10 | M | | |
| 28. | --Cohen and Steers Realty Fund | | | L | T | | | | | |
| 29. | --Janus Overseas fund | | | L | T | | | | | |
| 30. | --Vanguard International Explorer Fund | | | L | T | | | | | |
| 31. | --Vanguard Prime Cap Core Fund | | | M | T | | | | | |
| 32. | --Vanguard Total Stock Market Index Fund | | | M | T | Sold (part) | 08/09/10 | J | | |
| 33. | --Vanguard Small Cap Fund | | | K | T | Buy | 12/27/10 | K | | |
| 34. | IRA # 3--Fidelity Spartan International Index Fund | A | Dividend | | | Sold | 10/12/10 | K | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 | |
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|---|---|---|---|---|---|---|---|---|---|
| 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) |
| 35. --Fidelity Spartan International Index Fund | | | | | Merged (with line 14) | 10/13/10 | K | | |
| 36. | | | | | | | | | |

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

Part VII, lines 1-3: The Charles Schwab Cash Reserve funds are cash-equivalent funds. Each account is listed separately.

Part VII - IRA accounts, lines 7,14, and 34. Gains and losses are not reported to us in detail in these accounts.

| Name of Person Reporting | Date of Report |
| --- | --- |
| Graber, Susan P. | 05/05/2011 |

## 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/ Susan P. Graber

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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