

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Rogers, Yvonne G.	2. Court or Organization District Court for Northern District of California	3. Date of Report 5/5/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 1301 Clay Street Room 490C Oakland, California 94612		
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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Trust No. 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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	McKinsey & Company - Salary
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Law Institute	Jan. 15-17, 2014	Philadelphia, PA	Council Meeting	Transportation, Meals, Lodging
2. American Law Institute	May 17-21, 2014	Washington, D.C.	Council and Annual Meeting	Transportation, Meals, Lodging
3. American Law Institute	October 15-17, 2014	New York, New York.	Council Meeting	Transportation, Meals, Lodging
4. Princeton University	September 17-20, 2014	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging
5. Princeton University	November 13-15, 2014	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Kathryn Hall	Plane transportation from New Jersey to California	\$8,500.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Citibank, N.A.	McKinsey Partnership Shares Loan	P1
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

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) 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)	(5) Identity of buyer/seller (if private transaction)
1. Citibank Checking and Money Market Accounts	A	Int./Div.	L	T					
2. Bank of America Checking	A	Int./Div.	K	T					
3. Trust No. 1									
4. -Vanguard Total International Stock Index	E	Dividend	P1	T	Buy (add'l)	03/13/14	M		
5.					Buy (add'l)	07/07/14	M		
6. -Vanguard 500 Index Fund	D	Dividend	O	T					
7. -Vanguard Extended Market Index	D	Dividend	O	T	Buy (add'l)	03/13/14	L		
8. - Vanguard Emerging Markets Index	D	Dividend	M	T					
9. -Vanguard IRA: Inflation Protect Sec Adm	D	Dividend	M	T					
10. -Vanguard IRA: Total Bond Market Index (variable annuity)	C	Dividend	M	T					
11. -Vanguard 500 Index Fund (retirement)	A	Dividend	J	T					
12. -Vanguard Precious Metals			M	T	Buy	07/07/14	M		
13. -Vanguard 529 - Moderate Growth Port - Age-Based 19		None	M	T	Sold (part)	01/02/14	K	B	
14.			M	T	Sold (part)	08/06/14	J	B	
15.			M	T	Sold (part)	12/02/14	J	B	
16. -Vanguard 529 - Aggressive Growth Port - Age-Based 16		None	M	T					
17. -Vanguard 529 - Aggressive Growth - Port Age-Based 13		None	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

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) 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)	(5) Identity of buyer/seller (if private transaction)

18. -Vanguard Money Market Account	A	Dividend	J	T					
19. -Wells Fargo Money Market Account	A	Interest	N	T					
20. -Rental Prop, San Antonio, TX (assessment 12/14: \$84,300)	D	Rent	L	S					
21. McKinsey & Company Special Situations Aggressive Long-Term	G	Dividend	P1	T	Buy (add'l)	01/31/14	J		
22.					Buy (add'l)	02/28/14	J		
23.					Sold (part)	02/28/14	J		
24.					Buy (add'l)	12/31/14	N		
25. McK Spec Sit Ret		None	P1	T	Buy (add'l)	06/30/14	N		
26. McKinsey & Company Supp. Retirement		None	N	T	Sold (part)	06/30/14	N		
27. McKinsey Partnership Shares	B	Dividend	P1	U	Sold (part)	01/02/14	P1	G	
28. Vanguard High Yield Corporate - VWEAX		None	M	T	Buy	07/07/14	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Rogers, Yvonne G.

Date of Report

5/5/2015

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/ Yvonne G. Rogers

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544