

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Breyer, Charles R.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. District Court, Northern District of California 450 Golden Gate Avenue, 17th Floor San Francisco, CA 94102		
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.		
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 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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. 2013	University of California, Hastings College of the Law	\$5,377.95
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. 2013	Salary - City Arts & Lectures, Inc.
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. State Bar of Texas	02/14/13 - 02/16/13	Austin, TX	Seminar (speaker)	Transportation, lodging, meals
2. Pepperdine University	03/15/13	Malibu, CA	Seminar (speaker)	Transportation, lodging, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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.			
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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. Pacific Gas & Electric, common stock	B	Dividend	K	T					
2. First Niagara Group, common stock	A	Dividend	J	T					
3. U.S. Bancorp, common stock	B	Dividend	L	T					
4. U.C. Hastings Retirement Savings Plan	A	Dividend	J	T					
5. Protective Life Insurance whole life plan	A	Dividend	M	T					
6. Wells Fargo Bank, cash accounts	A	Interest			Closed	06/30/13	J		
7. First Republic Bank, cash accounts	A	Interest	K	T	Open	03/01/13	J		
8. Chase Bank, cash accounts	A	Interest	J	T					
9. IRA #1 (CRB)									
10. - Columbia Acorn (ACRN)	D	Dividend	M	T					
11. - Fidelity Advantage Floating Rate High Inc (FFRAX)	D	Dividend	N	T	Buy (add'l)	08/05/13	M		
12. - Fidelity Adv High Income (FHIAX)	D	Dividend	M	T	Buy (add'l)	08/02/13	K		
13. - Third Avenue Int'l Fund (TAVIX)	B	Dividend	L	T					
14. - Blackrock Inflation Pro Bond Port (BPRAX)	C	Dividend	L	T	Sold (part)	08/02/13	M		
15. - Eaton Vance Global Macro Fund (EAGMX)	B	Dividend	L	T	Buy (add'l)	08/02/13	K		
16. - Permanent Portfolio Fund (PRPF)	D	Dividend	L	T	Buy (add'l)	03/06/13	J		
17. - Northern Lights Fund (SANAX)	C	Dividend	L	T	Buy (add'l)	08/05/13	M		

1. Income Gain Codes:	A –\$1,000 or less (See Columns B1 and D4)	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	J –\$15,000 or less (See Columns C1 and D3)	K –\$15,001 - \$50,000 O –\$500,001 - \$1,000,000	L –\$50,001 - \$100,000 P1 –\$1,000,001 - \$5,000,000	M –\$100,001 - \$250,000 P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes	Q –Appraisal (See Column C2)	R –Cost (Real Estate Only) V –Other	S –Assessment W –Estimated	T –Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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. - Northern Lights Fund, continued from Line 17					Sold (part)	09/30/13	L		
19. - Princeton Futures		Int./Div.			Sold	09/30/13	K		
20. - Nile Pan Africa Fund (NAFAX)	B	Dividend	L	T	Buy	03/06/13	K		
21. - iShares MSCI EAFE Index (EFA)	C	Dividend	M	T	Buy	03/06/13	L		
22. - iShares Barclay's Treasury Inflation (TIP)	C	Dividend	L	T	Sold (part)	08/02/13	N		
23. - iShares TR MSCI Emerging Markets Index (EEM)	B	Dividend	L	T	Buy (add'l)	03/06/13	K		
24. - iShares IBOXX \$ Investor (LQD)	D	Dividend	M	T	Sold (part)	08/02/13	L		
25. - iShares S&P North American Natural (IGE)	B	Dividend	L	T					
26. - iShares Tr Russell Midcap Index (IWR)	B	Dividend	M	T					
27. - iShares Tr Russell 1000 Growth Index (IWF)	D	Dividend	N	T					
28. - iShares TR Russell 2000 (IWM)	B	Dividend	M	T					
29. - Pimco Total Return (PTTAX)	D	Dividend	M	T					
30. - Templeton Global Bond (TPINX)	D	Dividend	M	T	Buy (add'l)	08/02/13	K		
31. - Vanguard Specialized Portfol Div App ETF (VIG)	D	Dividend	N	T					
32. - Fidelity Cash Reserves	A	Dividend	J	T					
33. JOINT COMMUNITY PROPERTY									
34. - Fidelity Cal Municipal Money Mkt Fund	A	Interest	J	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 = \$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 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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)

35. - Vanguard Intermediate Term Muni Bond Fund	A	Dividend	J	T					
36. - Fidelity Adv. Balanced	A	Dividend	K	T	Buy	11/04/13	K		
37. IRA #2 (SRG)									
38. - Fidelity Cash Reserves (FDRXX)	A	Interest	J	T					
39. - Blackrock Inflation Protected Bond Portfolio (BPRAX)	A	Dividend	J	T	Sold (part)	08/05/13	K		
40. - Columbia Acorn Fund (ACRNK)	A	Dividend	J	T					
41. - Primecap Odyssey Growth (POGRX)	A	Dividend	J	T					
42. - Eaton Vance Global Macro Fund (EAGMX)	A	Dividend	J	T					
43. - Permanent Portfolio Fund (PRPFK)	A	Dividend	J	T					
44. - Select American Shares (SLASX)	A	Dividend	J	T					
45. - iShares TR Barclay USAGG B (AGG)	A	Dividend	K	T					
46. - iShares Barclay TIPS BD (TIP)	A	Dividend	J	T	Sold (part)	08/05/13	K		
47. - Vanguard Specialized Portfol Div App ETF (VIG)	A	Dividend	K	T					
48. - iShares TR IBOXX INV CPBD (LQD)	B	Dividend	J	T	Sold (part)	08/05/13	K		
49. - iShares TR MSCI EAFE Index (EFA)	A	Dividend	J	T					
50. - iShares TR MSCI EMERG MKT (EEM)	A	Dividend	J	T					
51. - iShares TR Russell 2000 (IWM)	A	Dividend	J	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 = \$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 \$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 7 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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)
52. - iShares TR Russell MidCap (IWR)	A	Dividend	J	T					
53. - iShares TR Russell 1000 GRW (IWF)	A	Dividend	K	T					
54. - iShares TR S&P NA NAT RES (IGE)	A	Dividend	J	T					
55. - PIMCO Total Return (PT TAX)	A	Dividend	K	T					
56. - Templeton Global Bond Fund - Class A (TPINX)	B	Dividend	K	T	Buy (add'l)	08/05/13	J		
57. - Third Avenue International Value Fund (TAVIX)	A	Dividend	J	T					
58. - Fidelity Adv. Floating Rate High Income (FFRAX)	A	Dividend	L	T	Buy	08/05/13	K		
59. - Northern Lights Fund (SANAX)	B	Dividend	K	T	Buy	08/05/13	K		

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 8 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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

PART VII - Notes

1. All dividends (both regular and capital gain) were reinvested for the mutual funds shown on Part VII, which results in a minor increase in the number of shares held.

2. Princeton Futures (Line 18) was inadvertently omitted from previous reports. It is a zero-income investment purchased 11/21/2011 for \$50,000 and sold 09/30/2013 for the same.

3. The label "JOINT COMMUNITY PROPERTY" at Line 32 was inadvertently omitted from previous reports. The investments on Lines 33 and 34 were always in that category; the investment on Line 35 was added during this reporting period.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

05/06/2014

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/ **Charles R. Breyer**

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