

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Koh, Lucy H.	2. Court or Organization District Court -- Northern California	3. Date of Report 05/13/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge --Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 280 South First Street San Jose, California 95113		
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.	

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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. 2018	State of California -- salary
2. 2018	Stanford University -- salary
3. 2018	New York University -- salary
4. 2018	Thomson/Reuters -- book royalty

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	10/25/2018-10/26/2018	Philadelphia, PA	Participate in Principles for Data Economy Meeting	Airfare, ground transportation, meal, hotel
2. American Bar Association	04/12/2018-04/14/2018	Orlando, FL	Serve as Business Law Advisor at Spring Meeting	Airfare, ground transportation, meals, hotel
3. University of Chicago	04/25/2018-04/26/2018	Chicago, IL	Judge final round of moot court competition	Airfare, ground transportation, hotel
4. American Bar Association	09/12/2018-09/15/2018	Austin, TX	Serve as Business Law Advisor at Annual Meeting	Airfare, ground transportation, meals, hotel
5. Opperman Foundation	09/19-2018-09/21/2018	New York, NY	Serve on Devitt Committee to select Devitt Award recipient	Airfare, ground transportation, meals, hotel

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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.		

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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) 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. Wells Fargo Accounts	A	Interest	L	T					
2. State of California Savings Plus Program		None	J	T					
3. American Funds Washington Mutual R6		None	L	T					
4. Nationwide Geneva Small Cap Gr R6		None	L	T					
5. Dodge & Cox Balanced		None	L	T					
6. Lord Abbett Total Return R5		None	L	T					
7. Vanguard Target Retirement 2035 Inv		None	J	T					
8. Vanguard Target Inst Retirement 2035	D	Dividend	O	T					
9. AMG Managers Fairpointe Mid Cap N	C	Dividend	L	T					
10. Invesco CollegeBound Age Based Portfolio		None	K	T					
11. TIAA CREF ScholarShare Active Age-Based Portfolio		None	K	T					
12. Vanguard Instl Target Retire 2035 Ins		None	L	T					
13.									
14.									
15.									
16.									
17.									

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	

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

Part IV. Reimbursement

Opperman Foundation

11/06/2018-11/08/2018

Washington, D.C.

Attend Devitt Award Ceremony at U.S. Supreme Court

Airfare, ground transportation, meals, hotel

Part VII. Investments and Trusts

In line 4, IronBridge Small Cap Fund changed names to Nationwide Geneva Small Cap Gr R6. I do not know why the fund changed names. I did nothing to cause any change in the fund name.

Nearly all of my funds in Vanguard Target Retirement 2035 Inv (line 7) were moved to Vanguard Instl Trgt Retire 2035 Ins (line 12). I do not know why the funds were moved. I did nothing to move the funds.

In line 8, Vanguard Target Retirement 2035, which is my husband's retirement account, changed names to Vanguard Inst Target Retirement 2035. My husband does not know why the fund changed names. He did nothing to cause any change in the fund name.

In line 9, Aston Fairpointe Mid Cap changed names to AMG Managers Fairpointe Mid Cap N. I do not know why the fund changed names. I did nothing to cause any change in the fund name.

I understand that all income is reportable, whether taxable, tax deferred, or tax exempt. I further understand that dividends that are reinvested must be listed as income. However, Part VII, lines 2-7 and 10-12 had no dividends, had no reinvestment of dividends, and thus had no reportable income in calendar year 2018.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lucy H. Koh**

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
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