

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Illston, Susan Y.	2. Court or Organization U.S. District Court, N.D. Cal.	3. Date of Report 10/12/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. District Court 450 Golden Gate Avenue 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board of Governors	Association of Business Trial Lawyers, Northern California
2.	Custodian	Children's Insurance Policies
3.	Custodian	Children's Annuities
4.		
5.		

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

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
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. 2015	JAMS, Inc. - payments
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. UT Austin School of Law-- Texas Intellectual Property Law Journal	2/19/15-2/22/15	Austin, TX	Educational seminar or program	Travel, food, and lodging reimbursement
2. American Bar Association-- Section of Antitrust Law	4/11/15-4/17/15	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
3. Sedona Conference	6/3/15-6/9/15	Hong Kong	Educational seminar or program	Travel, food, and lodging reimbursement
4. Organisation for Economic Co-operation and Development	6/10/15-6/17/15	Paris	Educational seminar or program	Travel, food, and lodging reimbursement

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5.	American Bar Association-- Section of Antitrust Law	11/11/15-11/13-15	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
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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.	Chase	Credit Cards	J
2.	Citibank	Credit Cards	J
3.	Schwab Bank	Credit Cards	J
4.	Wells Fargo	Credit Cards	J
5.	American Express	Credit Cards	J

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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 I (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. I. Schwab Inst'l Rollover IRA	E	Int./Div.	O	T					
2. Aberdeen Emerging Markets Fund					Buy	03/15/15	J		
3. Akre Focus Fund									
4. Baxter International Inc.					Sold	02/06/15	J	A	
5. Comcast					Sold (part)	03/12/15	K	D	
6. Devon Energy					Buy	08/27/15	J		
7. Dodge & CDX Income Fund					Buy	03/18/15	K		
8. Dodge & CDX International									
9. Emerson Electric									
10. FPA Crescent Fund									
11. General Electric					Buy	03/25/15	K		
12. General Electric					Buy	05/07/15	K		
13. General Electric					Buy	08/24/15	K		
14. General Electric					Buy	09/04/15	K		
15. General Motors					Buy	07/09/15	J	A	
16. GS Bond Fund Inst					Buy	05/07/15	K		
17. GS - Structured Note					Redeemed	02/23/15	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	

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18. Google (Alphabet Inc.)					Buy	01/06/15	K		
19. Google (Alphabet Inc.)					Buy	09/01/15	K		
20. Google (Alphabet Inc.)					Buy	10/01/15	K		
21. Halliburton					Buy	03/17/15	J		
22. Harbor Cap Appreciation Fund									
23. Harbor International Fund									
24. Ishares Biotech Fund					Sold (part)	07/25/15	K	E	
25. J.P. Morgan									
26. Johnson and Johnson					Buy	07/24/15	K		
27. Johnson and Johnson					Buy	09/25/15	K		
28. Longleaf Partners Fund					Sold	07/29/15	K	A	
29. Loomis Sayles Bond Fund									
30. Loomis Sayles High Income									
31. Matthews China Small Company Fund									
32. Matthews Pacific Tiger Fund					Buy	03/18/15	J		
33. Matthews Pacific Tiger Fund					Sold	05/22/15	K	A	
34. Metlife									

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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	
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35. Microsoft									
36. Oracle Corp.					Buy	06/18/15	K		
37. Oracle Corp.					Buy	08/24/15	K		
38. Oracle Corp.					Buy	09/22/15	K		
39. Osterweis Strategic Inc. Fund					Buy	03/17/15	K		
40. Pimco Total Return Fund					Sold	03/16/15	K	A	
41. Range Resources					Buy	07/22/15	J		
42. Range Resources					Buy	12/31/15	K		
43. Roche ADR					Buy	02/13/15	J		
44. Roche ADR					Buy	03/16/15	J		
45. Roche ADR					Buy	09/22/15	J		
46. Roche ADR					Buy	09/25/15	K		
47. RS Partner Fund					Sold	01/22/15	J	A	
48. Schlumberger LTD					Buy	03/18/15	K		
49. Schroder International Multicap									
50. Schwab Advisor Standard (Cash)									
51. Sequoia Fund									

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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	
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52. T. Rowe Price Inst.					Sold (part)	10/01/15	K		
53. Tweedy Browne Global									
54. Vanguard Corp. Bond ETF					Sold	05/07/15	K	B	
55. Vanguard Mortgage Backed Sec ETF					Sold	05/07/15	K	B	
56. Vanguard Total Bond Market Index					Sold	03/17/15	K	B	
57. Vodafone Group ADR					Sold	03/20/15	K	A	
58. Vodafone Group ADR					Sold	05/14/15	K	A	
59. Wells Fargo Structured Note S&P 500 (Formerly GS)					Redeemed	02/23/15	J		
60. II. Schwab One Brokerage Inst'l	B	Int./Div.	N	T					
61. Akre Focus Fund		None	J	T	Buy	10/01/15	K		
62. Allergan Inc.		None	K	T	Buy	10/06/15	K		
63. Antero Resources		None	J	T	Buy	12/30/15	J		
64. Apple Computer	A	Dividend	J	T					
65. Baron Emerg. Mkrt.	A	Dividend	J	T	Buy	08/24/15	J		
66. Cisco Systems	A	Dividend	K	T	Buy	08/27/15	J		
67. Cisco Systems		None			Buy	09/18/15	J		
68. General Motors	A	Dividend	J	T	Buy	07/09/15	J		

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69. General Motors	A	Int./Div.	J	T	Buy	07/14/15	J		
70. GS Gold Mine Linked Note 2016		None	J	T					
71. Halliburton		None			Sold	03/12/15	J	A	
72. Oaktree Cap. Grp.	A	Dividend	K	T	Buy	07/06/15	J		
73. Oaktree Cap. Grp.					Buy	07/28/15	J		
74. Oaktree Cap. Grp.					Buy	09/01/15	J		
75. Oaktree Cap. Grp.					Buy	12/14/15	J		
76. Qualcomm	A	Dividend	K	T	Buy	09/18/15	K		
77. Range Resources					Buy	07/30/15	J		
78. Range Resources	A	Dividend	J	T					
79. Schwab Muni Money Fund	A	Dividend	L	T					
80. Time Warner	A	Dividend	K	T	Buy	09/02/15	K		
81. III. Schwab SEP IRA	A	Int./Div.	N						
82. Apple Computer	A	Dividend	J	T					
83. Barron Emerging Markets	A	Dividend	J	T					
84. Schwab Cash Reserves Money Market Account	A	Dividend	K	T					
85. Third Avenue Real Estate	A	Dividend	K	T					

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86. T Rowe Price Inst.	A	None	K	T	Buy	06/08/15	K		
87. Vanguard Corp. Bond ETF	A	Dividend	K	T					
88. IV. Schwab Living Trust	C	Int./Div.	N	T					
89. DOMIX	B	Int./Div.	K	T	Buy	08/25/15	J		
90. DSI	A	Dividend	K	T	Buy	01/20/15	J		
91.					Buy (add'l)	09/21/15	J		
92. PARMX	A	Dividend	K	T	Buy	01/13/15	J		
93.					Buy (add'l)	08/25/15	J		
94. PRBLX	A	Dividend	K	T	Buy	01/13/15	J		
95. PXWIX	B	Dividend	K	T	Buy	01/15/15	J		
96.					Buy (add'l)	03/11/15	J		
97. VFTSX	A	Int./Div.	K	T	Buy	03/30/15	J		
98.					Buy (add'l)	08/13/15	J		
99. Citibank account	A	Interest	N	T					
100. Northwestern Mutual Life Insurance Assets									
101. Northwestern Mut. Life Annuity	A	Interest	M	T					
102. Northwestern Mutual Life Children's Insurance		None	N	T					

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103. Northwestern Mutual Life Children's Annuities	A	Distribution	L	T					
104. Northwestern Mutual Life Insurance Trust		None	P1	T					
105. Chase Bank Account	A	Interest	O	T					
106. Wells Fargo Bank account	A	Interest	K	T					
107. Provident Federal Credit Union	A	Interest	O	T					
108.									
109.									
110.									
111.									

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

The prior (2014 Amended) report listed "Schwab U.S. Treas. FD (X)" on Line 41 of Part VII. Schwab U.S. Treas. FD was redeemed in whole (39,335.91) on June 17, 2014. It was not recorded as a sale; the account ceased to exist.

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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/ **Susan Y. Illston**

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