

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Ryu, Donna M.	2. Court or Organization United States District Court; Northern District of California	3. Date of Report 5/7/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States District Court 1301 Clay Street, Suite 210C Oakland, CA 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. Insert signature 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. Co-Trustee	Revocable Trust Agreement re [REDACTED] member's estate
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. July 2002	University of California Retirement Plan (pension on retirement)
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Brokerage Account - Indv.									
2. -Vanguard Bond ETF (BND)	A	Dividend	J	T	Buy	01/21/11	J		
3. -Vanguard Bond ETF (BND)					Sold (part)	12/22/11	J	A	
4. -iShares MSCI EFA ETF (EFA)	A	Dividend	J	T	Buy	06/29/11	J		
5. -iShares MSCI EFA ETF (EFA)					Buy (add'l)	12/30/11	J		
6. -iShares MSCI EFA ETF (EFA)	A	Dividend	J	T	Sold (part)	12/22/11	J		
7. -iShares MidCap ETF (IJH)	A	Dividend	J	T	Sold (part)	12/22/11	J		
8. -Money Market Fund (SWSXX)	A	Int./Div.	J	T					
9. -iShares Russel 2000 Value ETF (IWN)	A	Dividend	J	T	Sold (part)	12/22/11	J		
10. -iShares Russel 1000 Value ETF (IWD)	A	Dividend	J	T	Sold (part)	12/22/11	J		
11. -iShares Russel 1000 Growth ETF (IWF)	A	Dividend	J	T	Sold (part)	1/21/11	J	A	
12. -iShares Russel 1000 Growth ETF (IWF)					Sold (part)	12/22/11	J	A	
13. -Vanguard Emerging Markets ETF (VWO)	A	Dividend	J	T					
14.									
15. Brokerage Account - SEP IRA									
16. -Vanguard Bond ETF (BND)	B	Dividend	L	T	Buy	1/21/11	J		
17. -Vanguard Bond ETF (BND)					Buy (add'l)	4/25/11	J		

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 H = \$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 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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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☐ 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)

18. -Vanguard Bond ETF (BND)					Buy (add'l)	08/15/11	J		
19. -Vanguard Bond ETF (BND)					Buy (add'l)	11/14/11	J		
20. -iShares MSCI EFA ETF (EFA)	B	Dividend	L	T	Buy	01/21/11	J		
21. -iShares MSCI EFA ETF (EFA)					Buy (add'l)	08/15/11	K		
22. -iShares MSCI EFA ETF (EFA)					Buy (add'l)	11/14/11	J		
23. -iShares MidCap ETF (IJH)	A	Dividend	K	T	Buy	08/15/11	J		
24. -iShares MidCap ETF (IJH)					Sold (part)	01/21/11	J	A	
25. -iShares MidCap ETF (IJH)					Sold (part)	04/25/11	J	A	
26. -iShares MidCap ETF (IJH)					Sold (part)	11/14/11	J		
27. -Money Market Fund (SWGXX)	A	Dividend	J	T					
28. -iShares Russel 1000 Growth ETF (IWF)	A	Dividend	L	T	Sold (part)	01/22/11	J	A	
29. -iShares Russel 1000 Growth ETF (IWF)					Buy	08/15/11	J		
30. -iShares Russel 1000 Growth ETF (IWF)					Sold (part)	11/14/11	J	A	
31. -iShares Russel 2000 Value ETF (IWN)	A	Dividend	K	T	Sold (part)	01/21/11	J	A	
32. -iShares Russel 2000 Value ETF (IWN)					Buy	08/15/11	J		
33. -Vanguard Emerging Markets ETF (VWO)	A	Dividend	J	T	Buy	08/15/11	J		
34. -Vanguard Emerging Markets ETF (VWO)					Buy (add'l)	11/14/11	J		

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	
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☐ 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. -iShares Russel 1000 Value ETF (IWD)	B	Dividend	L	T	Sold (part)	01/21/11	J	A	
36. -iShares Russel 1000 Value ETF (IWD)					Buy	08/15/11	K		
37. -iShares Russel 1000 Value ETF (IWD)					Sold (part)	11/14/11	J		
38.									
39. Brokerage Account - Roth IRA									
40. -Vanguard Bond ETF (BND)	A	Dividend	J	T					
41. -iShares Emerging Markets ETF (EEM)	A	Dividend	J	T					
42. -iShares MSCI EFA ETF (EFA)	A	Dividend	J	T	Buy	11/14/11	J		
43. -iShares MidCap ETF (IJH)	A	Dividend	J	T					
44. -Money Market Fund (SWGXX)	A	Dividend							
45. -iShares Russel 1000 Value ETF (IWD)	A	Dividend	J	T					
46. -iShares Russel 1000 Growth ETF (IWF)	A	Dividend	J	T					
47. -iShares Russel 2000 Value ETF (IWN)	A	Dividend	J	T					
48.									
49. University of California CAP									
50. -Fixed Account (no selection of funds available)	A	Interest	J	T					
51.									

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	
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☐ 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				
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52. University of California DCP									
53. -Spartan 500 Index Fund	A	Dividend			Sold	07/29/11	J	A	
54. -Spartan US Bond Index Fund X	A	Dividend			Sold	07/29/11	J	A	
55. -Fidelity Value Discovery Fund	A	Dividend			Sold	07/29/11	J	A	
56. -Spartan International Index Fund	A	Dividend			Sold	07/29/11	J	A	
57. -Fidelity Small Cap Stock Fund	A	Dividend			Sold	07/29/11	J	A	
58.									
59. University of California 403(b)									
60. -Spartan 500 Index Fund	A	Dividend			Sold	07/29/11	K	B	
61. -Spartan US Bond Index Fund X	A	Dividend			Sold	07/29/11	J	A	
62. -Fidelity Value Discovery Fund	A	Dividend			Sold	07/29/11	J	A	
63. -Spartan International Index Fund	A	Dividend			Sold	07/29/11	J	A	
64. -Fidelity Small Cap Stock Fund	A	Dividend			Sold	07/29/11	J	B	
65.									
66. 529 College Savings Plan									
67. -Portfolio 2009 Index Fund		None	K	T	Buy	01/03/11	J		
68. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	02/01/11	J		

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
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69. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	03/01/11	J		
70. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	04/01/11	J		
71. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	05/02/11	J		
72. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	06/01/11	J		
73. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	07/01/11	J		
74. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	08/01/11	J		
75. -Portfolio 2009 Index Fund		None	J	T	Sold (part)	08/08/11	J	A	
76. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	09/01/11	J		
77. -Portfolio 2009 Index Fund		None	J	T	Buy (add'l)	10/03/11	J		
78. -Portfolio 2009 Index Fund					Merged (with line 79)	11/04/11	K		
79. -Age Based Portfolio - 18 & Over Index		None	J	T	Buy (add'l)	11/07/11	J		
80. -Age Based Portfolio - 18 & Over Index		None	J	T	Buy (add'l)	12/01/11	J		
81. -Age Based Portfolio - 18 & Over Index		None	J	T	Sold (part)	12/28/11	J	D	
82.									
83. Wells Fargo Bank Accounts	A	Int./Div.	J	T					
84.									
85. Provident Credit Union Accounts	A	Int./Div.	J	T					

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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				
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86.									
87. ING Direct Accounts	A	Int./Div.	L	T					
88.									
89. Trust for the benefit of [REDACTED] member									
90. -Real Estate & Personal Property, [REDACTED]		None	N	W					
91.									
92.									
93.									

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

Part I, and Part VII.

Line 89: Trust for the benefit of [REDACTED] member.

-I am not the owner or grantor of the trust, I am solely the co-trustee of a revocable trust created for the benefit of a [REDACTED] member.

Part VII Lines 49-50: The University of California Capital Accumulation Provision (CAP) account is a supplemental benefit plan held by the University of California. I have no input in selecting how these funds are invested.

Part VII Lines 66-81: The custodian of the 529 College Savings Plan changed mid-year (reflected on line 78), I had no say in this change and it happened automatically.

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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/ **Donna M. Ryu**

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