

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/13/2013
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 01/01/2012 to 12/31/2012
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. Director	Federal Judges Association
2. Board of Governors	Association of Business Trial Lawyers, Northern California
3. Custodian	Insurance Policies
4. Custodian	Annuities
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Illston, Susan Y.

Date of Report

05/13/2013

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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2012	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Federal Judges Association	5/8/12 - 5/12/12	Washington, DC	Board meeting	Travel, food and lodging reimbursement
2. San Francisco Intellectual Property Law Association	6/1/12-6/3/12	Healdsburg, CA	Seminar re patent law	Travel, food and lodging reimbursement
3. National Association of Criminal Defense Lawyers	6/7/12-6/10/12	Incline Village, CA	Seminar re criminal law	Travel, food and lodging reimbursement
4. The Sedona Conference	10/24/12-10/26/12	Del Mar, CA	Seminar re antitrust law	Travel, food and lodging reimbursement
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Illston, Susan Y.

Date of Report

05/13/2013

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Illston, Susan Y.

Date of Report

05/13/2013

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. Schwab Inst'l Rollover IRA	A	Int./Div.	O	T					
2. Aberdeen EM Instl.									
3. Akre Focus Fund									
4. CEMEX					Sold	3/22/12	J	B	
5. Comcast					Buy (add'l)	3/1/12	J		
6. Covidien PLC									
7. Dodge & Cox Int'l Stock					Sold (part)	6/5/12	J	C	
8.					Sold	8/3/12	J	C	
9. Emerson Electric									
10. Exxon Mobil					Sold (part)	8/6/12	J	B	
11. General Electric									
12. Goldman Sachs					Buy (add'l)	4/27/12	J		
13. Harbor Cap Appreciation									
14. Harbor International Fund									
15. Ishares TR Nasdaq Bio Fund									
16. Johnson & Johnson					Sold (part)	8/3/12	J	B	
17. Longleaf Partners Fund									

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 5 of 10

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Illston, Susan Y.

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18. Loomis Sayles Bond Fund									
19. Merck & Company									
20. MetLife									
21. Microsoft									
22. J.P. Morgan					Sold (part)	11/27/12	J		
23.					Sold (part)	12/6/12	J	B	
24. J.P. Morgan Chase & Co. EAFE Note									
25. J.P. Morgan Chase & Co. S&P 500 Note					Sold	4/18/12	J	B	
26.					Buy	4/25/12	J		
27. PIMCO Real Return					Sold	1/11/12	K	B	
28. PIMCO Total Return Fund									
29. PIMCO Unconstrained Fund					Buy (add'l)	8/6/12	J		
30. RE Partners Fund									
31. Schlumberger LTD									
32. Schwab Advisor Standard (Cash)									
33. Schwab U.S. Treas. FD									
34. Selected American Shares									

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 10

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05/13/2013

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35. Sequoia Fund									
36. T. Rowe Price Inst.					Buy (add'l)	1/13/12	K		
37. Tweedy Browne Global									
38. Vanguard Corp. Bond Fund					Buy	8/3/12	K		
39. Vanguard Total Bond Index									
40. Vodafone Group ADR					Buy	11/29/12	K		
41.					Buy (add'l)	12/9/12	J		
42. Wells Fargo Notes					Buy	4/30/12	K		
43.					Buy (add'l)	8/14/12	K		
44. II. Schwab One Brokerage Inst'l									
45. Aberdeen Emerging Markets	A	Int./Div.	K	T					
46. Akre Focus Fund		None	J	T					
47. CEMEX		None			Sold	3/22/12	J	A	
48. Covidien PLC	A	Dividend	J	T					
49. J.P. Morgan Chase & Co. EM Note		None			Sold	4/18/12	K	B	
50. Schwab Muni Money Fund	A	Dividend	J	T					
51. Vanguard MSCI E.F.		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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Illston, Susan Y.

Date of Report

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52. Citibank account	A	Interest	N	T					
53. Bank of America account	A	Interest	M	T					
54. Northwestern Mutual Life Insurance Assets									
55. Northwestern Mut. Life Annuity	A	Interest	M	T					
56. Northwestern Mutual Life Insurance		None	N	T					
57. Northwestern Mutual Life Annuities	A	Distribution	L	T					
58. Northwestern Mutual Life Insurance Trust		None	P1	T					
59. Chase Bank account	A	Interest	O	T					
60. Wells Fargo Bank Account	A	Interest	K	T	Open	11/23/12	K		
61. Provident Federal Credit Union	A	Interest	O	T					
62. Apple Inc.		None	J	T	Buy	12/14/12	J		
63. Halliburton	A	Int./Div.	J	T	Buy	6/5/12	J		
64. MV Gold Miners ETF	A	Int./Div.	K	T	Buy	2/8/12	J		
65.					Buy (add'l)	3/26/12	J		
66.					Buy (add'l)	5/22/12	J		
67.					Buy (add'l)	11/15/12	J		
68. Oracle Corp.	A	Int./Div.	J	T	Buy	6/5/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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Illston, Susan Y.

Date of Report

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69.									
70.									
71.									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Illston, Susan Y.

Date of Report

05/13/2013

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Illston, Susan Y.

Date of Report

05/13/2013

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
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Washington, D.C. 20544