

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) SEEBORG, RICHARD G.	2. Court or Organization U.S. District Court N.D. Cal.	3. Date of Report 05/02/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 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.)

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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	Matthew Bender & Co., Inc. (Book Royalties)	\$2,086.85
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.	
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.				
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.)*

<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. Morgan Stanley Asset Fund (Money Market)	A	Interest	O	T					
2. Schlumberger Ltd.	A	Dividend	K	T					
3. DWS World Dividend Fund	A	Dividend	J	T					
4. DWS Latin America Equity Fund	A	Dividend	K	T					
5. Templeton World Fund - Class I	B	Dividend	K	T					
6. Templeton Developing Market Trust Class A	A	Dividend	J	T					
7. Vanguard 500 Index Fund	A	Dividend	M	T					
8. Vanguard Growth Index Fund	A	Dividend	K	T					
9. Vanguard International Growth Fund	A	Dividend	K	T					
10. Vanguard U.S. Growth Fund	A	Dividend	K	T					
11. Wells Fargo Checking Account	A	Interest	L	T					
12. Emerson Electric	A	Dividend	J	T					
13. JP Morgan Chase	A	Dividend	K	T					
14. Computer Sciences Corp.	A	Dividend	J	T					
15. CSRA	A	Dividend	J	T					
16. Intel Corp	B	Dividend	L	T					
17. Invesco Comstock Fund	A	Dividend	L	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 = \$250,000.01 - \$500,000.00	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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	(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. Invesco Small Cap Value Fund C (formerly Special Value Fund)	A	Dividend	L	T					
19. Invesco Senior Loan	D	Dividend	J	T					
20. Allianz Nacm Intern.	A	Dividend	K	T					
21. Chevron Corp	A	Dividend	K	T					
22. Clorox Corp	A	Dividend	K	T					
23. General Electric Corp	A	Dividend	K	T					
24. Diversified Dividend A Fund	B	Dividend	K	T					
25. Invesco Global Growth Fund A	A	Dividend	K	T					
26. Virtus	A	Dividend	J	T					
27. Mortgage Stanley Strategist Fund A	A	Dividend	K	T					
28. Invesco Global Core Equity Fund A	B	Dividend	K	T					
29. L.A. Water Dept Bond	B	Interest	L	T					
30. Invesco Van Kampen Dynamic Credit Opp. Fund	A	Dividend	J	T					
31. BST Hospitality LLC	E	Distribution	M	U					
32. Nexpoint Credit Strategies Fund	A	Dividend	J	T					
33. Newpoint Resident Trust	A	Dividend	J	T					
34. Metropolitan Water District - So Cal Bond	B	Interest	L	T					

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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. East Bay Municipal Utility District Bond	A	Interest	M	T					
36. Pasadena Electric Bond	A	Interest	L	T					
37. Piedmont Unified School District Bond	A	Interest	L	T					
38. Invesco Asia Pacific Growth Fund C	D	Dividend	L	T					
39. Invesco European Growth Fund C	C	Dividend	L	T					
40. John Hancock International Growth Fund A	A	Dividend	M	T					
41. MFS International Value Fund A	C	Dividend	L	T					
42. MSIFT Global Strategist Fund L	A	Dividend	M	T					
43. SPDR S&P Dividend	D	Dividend	N	T					
44. Vanguard TTL STK MKT ETF	C	Dividend	M	T					
45. Baldwin Park School District	A	Interest	K	T	Buy	07/01/16	K		
46. Burlingame Elementary School District	B	Interest	K	T	Buy	07/01/16	K		
47. Evergreen Elementary School District	A	Interest	K	T	Buy	07/01/16	K		
48. Orange County Wastewater	A	Interest	K	T	Buy	12/8/16	K		
49. Sacramento County Sanitation District	A	Interest	L	T	Buy	07/01/16	L		
50. San Diego Water Authority	B	Interest	L	T	Buy	07/01/16	L		
51. Walnut Creek School District	A	Interest	K	T	Buy	06/30/16	K		

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

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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/ **RICHARD G. SEEBORG**

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