

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) Tigar, Jon S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 11/03/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	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 450 Golden Gate Avenue, 19th Floor 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	Trust #1
2. Director	Trust #2
3. Director	Trust #3
4. Director	Trust #4
5. Director	Trust #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

Tigar, Jon S.

Date of Report

11/03/2016

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. 2015	Matthew Bender	\$4,358.54
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	The Durfee Foundation - Salary
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. ABA Litigation Section	October 21-23, 2015	New Orleans, LA	Class Action Institute	Transportation, meals, hotel
2. Vanderbilt Law School	October 25-27, 2015	Nashville, TN	Judicial lecture	Transportation, meals, hotel
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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. iShares 1-3 Year Credit Bond	C	Dividend	N	T	Buy	01/05/15	N		
2. Pimco Stocksplus Intl Fd Usd Hedged D	D	Dividend	M	T	Buy	08/25/15	M		
3. PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T	Buy	08/24/15	N		
4. RidgeWorth Seix Floating Rate Hi Inc I	A	Dividend			Sold	01/05/15	L		
5. Schwab Fundamental Int'l Small Co. Index Fund	A	Distribution			Buy	01/05/15	L		
6.					Sold	08/24/15	M	E	
7. TIAA-CREF Traditional Annuity		None	K	T					
8. Vanguard Dividend Appreciation Index Fund	B	Dividend	L	T					
9. Schwab Money Market Accounts -- Cash	A	Interest	M	T					
10. Bank of America Accounts	A	Interest	J	T					
11. Trust #1	G	Int./Div.	P1	T					
12. -- Artisan Global Opportunities Fund					Buy	05/05/15	M		
13. -- Avery Dennison Common Stock									
14. -- Cohen & Steers Realty Shares					Buy	05/05/15	L		
15. -- Eaton Vance Tax- Managed Emerging Markets Fund									
16. -- Fidelity International Discovery Fund					Sold	05/04/15	M	E	
17. -- Janus Flexible Bond Fund					Buy	05/05/15	N		

1. Income Gain Codes:	A ~\$1,000 or less	B ~\$1,001 - \$2,500	C ~\$2,501 - \$5,000	D ~\$5,001 - \$15,000	E ~\$15,001 - \$50,000
(See Columns B1 and D4)	F ~\$50,001 - \$100,000	G ~\$100,001 - \$1,000,000	H1 ~\$1,000,001 - \$5,000,000	H2 ~More than \$5,000,000	
2. Value Codes	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	N ~\$250,001 - \$500,000	O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000	P2 ~\$5,000,001 - \$25,000,000	
	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
3. Value Method Codes	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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)

18. -- Nuveen Real Estate Securities Fund Class A					Sold	05/04/15	L	E	
19. -- Oakmark Global Fund									
20. -- PIMCO Total Return Fund III					Sold	05/04/15	M		
21. -- PRIMECAP Odyssey Aggressive Growth Fund									
22. -- Ridgeworth Intermediate Bond Fund									
23. -- RS Partners A Fund					Sold	01/05/15	L	C	
24. -- Schwab Fdmtl US Sm Co Idx					Buy	01/06/15	L		
25. -- Schwab 1000 Index Fund					Sold (part)	08/24/15	M	F	
26. -- Vanguard Dividend Appreciation Index Fund									
27. -- Vanguard Mid-Cap Index Fund									
28. -- Vanguard Prime Money Market Fund					Sold	11/20/15	J		
29. -- Vanguard Small-Cap Growth Index Fund (X)									
30. -- Wasatch Small Cap Growth Index Fund									
31. Trust #2	D	Int./Div.	N	T					
32. -- Artisan Global Oppty Inv Cl					Buy	06/01/15	L		
33. -- Avery Dennison Common Stock									
34. -- Driehaus Emerging Markets Growth 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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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)
35. -- Fidelity International Discovery Fund					Sold	05/04/15	K	D	
36. -- PRIMECAP Odyssey Aggressive Growth Fund									
37. -- RidgeWorth Intermediate Bond Fund					Sold	05/04/15	K		
38. -- Vanguard Dividend Appreciation Index Fund									
39. Trust #3	D	Int./Div.	N	T					
40. -- Artisan Global Oppty Inv Cl					Buy	05/04/15	K		
41.					Buy (add'l)	05/05/15	K		
42. -- Century Small Cap Select Fund									
43. -- Fidelity International Discovery Fund					Sold	05/04/15	K	D	
44. -- Janus Flexible Bond Fund					Buy	05/05/15	L		
45.					Buy (add'l)	05/28/15	K		
46. -- PRIMECAP Odyssey Aggressive Growth Fund									
47. -- RidgeWorth Intermediate Bond Fund					Sold	05/04/15	L		
48. -- Schwab 1000 Index Fund					Buy	05/04/15	K		
49. Trust #4	B	Int./Div.	L	T					
50. -- Avery Dennison Common Stock									
51. -- Janus Flexible Bond Fund					Buy	05/05/15	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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)
52. -- RidgeWorth Intermediate Bond Fund					Sold	05/04/15	K		
53. -- Vanguard Dividend Appreciation Index Fund									
54. Trust #5	D	Int./Div.	N	T					
55. -- Artisan Global Oppty Inv Cl					Buy	05/04/15	K		
56. -- Century Small Cap Select Fund					Sold	01/05/15	K	C	
57. -- Driehaus Emerging Markets Growth Fund									
58. -- Fidelity International Discovery Fund					Sold	01/05/15	K	B	
59. -- iShares Core S&P 500					Buy	01/05/15	K		
60.					Buy (add'l)	06/10/15	K		
61. -- Janus Flexible Bond Fund					Buy	05/05/15	K		
62. -- PRIMECAP Odyssey Aggressive Growth Fund									
63. -- RidgeWorth Intermediate Bond Fund					Sold	05/04/15	K		
64. -- Schwab Fdmtl US Sm Co Idx					Buy	01/06/15	K		
65. -- Vanguard Dividend Appreciation Index Fund									
66. Trust #6	D	Int./Div.	N	T					
67. -- Arbitrage Fund Class I									
68. -- DFA Global Real Estate Securities I									

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 8 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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)

69. -- PIMCO Commodity Real Return Strategy Fund									
70. -- Vanguard 500 Index Fund									
71. -- Vanguard Extended Market Index Fund									
72. -- Vanguard FTSE All-World Ex-US Index Fund									
73. -- Vanguard Short Term Investment Grade Fund									
74. -- Vanguard Small Cap Index Fund									
75.									
76.									
77.									
78.									
79.									
80.									
81.									

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 9 of 10

Name of Person Reporting	Date of Report
Tigar, Jon S.	11/03/2016

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

The Vanguard Small-Cap Growth Index Fund listed on line 10 of Part VII in last year's report appears to have been listed in error in that location and is not included in a similar location in this year's report. Although this error was intended to be corrected in last year's form, as noted in Part VIII of that form, the asset was again listed erroneously. This year's form corrects that mistake.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Tigar, Jon S.

Date of Report

11/03/2016

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/ **Jon S. Tigar**

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