

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Hixson, Thomas S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 07/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 03/01/2019
7. Chambers or Office Address San Francisco 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Partner	Morgan, Lewis & Bockius, LLP
2.	Partner	Bingham McCutchen LLP
3.		
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. 01/01/2015	Morgan, Lewis & Bockius Cash Balance Pension Plan
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/12/2019

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. 2016	self-employed (attorney)	\$1,115,280.00
2. 2017	self-employed (attorney)	\$2,176,588.00
3. 2018	self-employed (attorney)	\$2,525,960.00
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.	
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. EXEMPT				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/12/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	EXEMPT		
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/12/2019

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. Bank of America (cash)	A	Interest	N	T	Exempt				
2. Capital One (cash)	C	Interest	N	T					
3. Goldman Sachs (cash)	A	Interest	M	T					
4. IRA ACCT #1 (H)									
5. Charles Schwab Bank Sweep (cash)	A	Dividend	K	T					
6. AT&T Inc (T)		None							
7. Air Products & Chemicals (APD)		None							
8. Allstate Corp (ALL)	A	Dividend							
9. Chevron Corp (CVX)		None							
10. Intel Corp (INTC)	A	Dividend							
11. Johnson & Johnson (JNJ)	A	Dividend							
12. Kayne Anderson Energy (KYE)		None							
13. McDonalds Corp (MCD)		None							
14. Medtronic PLC (MDT)		None							
15. Microsoft Corp (MSFT)		None							
16. PNC Financial Svcs (PNC)		None							
17. Procter & Gamble (PG)	A	Dividend							

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 = \$250,001 - \$500,000	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

Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/12/2019

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. Royal Bank SC 5.75 PFD (RBS.L)		None							
19. Teva Pharm Inds Ltd (TEVA)		None							
20. Verizon Communications (VZ)	A	Dividend							
21. Schwab Intl Equity ETF (SCHF)	C	Dividend	L	T					
22. Schwab US Large Cap ETF (SCHX)	D	Dividend	N	T					
23. Schwab US Small Cap ETF (SCHA)	C	Dividend	M	T					
24. BMO Intern Tax Free CL Y (MITFX)	C	Dividend	L	T					
25. Loomis Sayles Strategic Inc Fd (NEZYX)	A	Dividend							
26. Metropolitan West Tot Ret Bond (MWTIX)	A	Dividend							
27. Northern CA Inter Tax Exempt Fd (NCITX)	C	Dividend	L	T					
28. Diamond Hill Large Cap Fd (DHLRX)		None							
29. Eaton Vance Atlanta Cap Smid Cap (EISMX)		None							
30. Henderson Intl Oppty Fd (HFOIX)		None							
31. JPMorgan Large Cap Growth (SEEGX)		None							
32. Lazard Intl Strategic Equity Open Shs (LISOX)	D	Dividend	L	T					
33. Schwab Total Stock Mkt Index (SWTSX)	D	Dividend	M	T					
34. Virtus Emerg Mkts Oppty Fd (HIEMX)		None							

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

Hixson, Thomas S.

Date of Report

07/12/2019

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. Virtus Sm Cap Core C1 (PKSFX)		None							
36. Schwab Target 2035 Fund (SWIRX)		None							
37. IRA #2 (H)									
38. Fidelity Govt Money Market (SPAXX)	D	Dividend	N	T					
39. Fidelity Intl Enhanced Ix Fd (FIENX)	C	Dividend	L	T					
40. Fidelity Total Bond (FTBFX)	C	Dividend	M	T					
41. iShares Core S&P Total US Stock Mkt ETF (ITOT)	C	Dividend	M	T					
42. iShares Core S&P 500 ETF (IVV)	C	Dividend	M	T					
43. iShares Core S&P Mid-Cap ETF (IJH)	B	Dividend	L	T					
44. iShares Core S&P Small-Cap ETF (IJR)	B	Dividend	L	T					
45. iShares Trust Core MSCI Total Intl Stk ETF (IXUS)	C	Dividend	L	T					
46. RETIREMENT ACCT #1 (H)									
47. ML&B Cash Balance Plan (cash)		None	M	T					
48. Vanguard Tot Intl Stock Ix Inst (VTPSX)	E	Dividend	N	T					
49. Vanguard Inst Index Fund Inst (VINIX)	D	Dividend							
50. Vanguard Total Bond Mkt Index Inst (VBTIX)	D	Dividend	M	T					
51. Vanguard Extended Mkt Index Adm (VEXAX)	A	Dividend							

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

Hixson, Thomas S.

Date of Report

07/12/2019

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. Vanguard Extended Mkt Index Inst (VIEIX)	D	Dividend	M	T					
53. Vanguard Inst Index Fund Inst Plus (VHIX)	D	Dividend	O	T					
54. RETIREMENT ACCT #2 (H)									
55. Vanguard Tot Intl Stock Ix Inst (VTPSX)	B	Dividend	K	T					
56. Vanguard Inst Index Fund Inst (VINIX)	B	Dividend							
57. Vanguard Total Bond Mkt Index Inst (VBTIX)	B	Dividend	K	T					
58. Vanguard Extended Mkt Index Adm (VEXAX)	A	Dividend							
59. Vanguard Extended Mkt Index Inst (VIEIX)	A	Dividend	K	T					
60. Vanguard Inst Index Fund Inst Plus (VHIX)	B	Dividend	L	T					
61. BROKERAGE #1 (H)									
62. Schwab Bank Savings Sweep (cash)	A	Interest	K	T					
63. Charles Schwab US REIT ETF (SCHH)	A	Dividend	J	T					
64. iShares Gold ETF (IAU)		None	J	T					
65. iShares High Yield Corp Bond ETF (SHYG)	B	Dividend							
66. Schwab Emerg Mkts Equity ETF (SCHE)	A	Dividend	J	T					
67. Schwab Fund Emg Mkts Large ETF IV (FNDE)	A	Dividend	K	T					
68. Schwab Fund Intl Large Com ETF (FNDF)	B	Dividend	K	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 = \$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

Hixson, Thomas S.

Date of Report

07/12/2019

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. Schwab Fund Intl Small Com ETF (FNDC)	A	Dividend	K	T					
70. Schwab Fund US Large ETF IV (FNDX)	B	Dividend	K	T					
71. Schwab Fund US Small Com ETF (FNDA)	A	Dividend	K	T					
72. Schwab Intermed Term US Treas ETF (SCHR)	A	Dividend	K	T					
73. Schwab Intl Equity ETF (SCHF)	B	Dividend	K	T					
74. Schwab Intl Small Cap Eqty ETF (SCHC)	A	Dividend	J	T					
75. Schwab US Large Cap ETF (SCHX)	B	Dividend	K	T					
76. Schwab US Small Cap ETF (SCHA)	A	Dividend	K	T					
77. Schwab US TIPS ETF (SCHP)	A	Dividend	K	T					
78. SPDR Blmbrg Brclly Emg Mkt Lcl ETF (EBND)	A	Dividend	J	T					
79. SPDR Intermed Term ETF (SPIB)	A	Dividend	J	T					
80. Vaneck Vectors JPMorgan Emerg Mkts Loc Curr Bd ETF (EMLC)	B	Dividend	J	T					
81. Vanguard Global Ex US Real Est ETF IV (VNQI)	A	Dividend	J	T					
82. Vanguard Mortgage Backed Sec ETF (VMBS)	A	Dividend	K	T					
83. Vanguard Total Intl Bnd ETF DV (BNDX)	A	Dividend							
84. Xtrackers USD High Yield Cor Bnd ETF (HYLB)	A	Dividend	J	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 = \$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

Hixson, Thomas S.

Date of Report

07/12/2019

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

Part I, lines 1 and 2: Resigned July 31, 2018.

Part III A.: No reportable income for 2019.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/12/2019

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/ **Thomas S. Hixson**

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