

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 12/11/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
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.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Board of Governors	Association of Business Trial Lawyers, Northern California
2.	Custodian	Insurance Policies
3.	Custodian	Annuities
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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.		
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. 2014	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association -- Antitrust Section	2/12/14-2/25/14	Rome, Italy	Educational seminar or program	Travel, food, and lodging reimbursement
2. American Bar Association -- Antitrust Division	3/25/14-3/27/14	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
3. ChIPs	10/1/14-10/2/14	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
4. American Bar Association-- Antitrust Economics Institute	10/6/14-10/8/14	Arlington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
5. Sedona Conference	11/4/14-11/7/14	New Orleans	Educational seminar or program	Travel, food, and lodging reimbursement

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
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 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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. I. Schwab Inst'l Rollover IRA	B	Int./Div.	O	T					
2. Aberdeen Emerging Markets Fund									
3. Akre Focus Fund									
4. Baxter International Inc.									
5. Comcast					Sold (part)	01/21/14	K	C	
6. Covidien					Sold	06/23/14	J	A	
7. Devon Energy									
8. I. Schwab Institutional Rollover IRA									
9. Dodge & CDX International Stock Fund					Buy	06/26/14	K		
10. Emerson Electric					Sold (part)	01/24/14	J	C	
11. Exxon					Sold	02/14/14	J	D	
12. FPA Crescent Fund									
13. General Electric									
14. General Motors					Buy	08/05/14	J		
15. GS - Structured Note MSCI EM 2014									
16. Harbor Cap Appreciation Fund					Buy (add'l)	05/08/14	K		
17. Harbor International Fund					Sold (part)	05/26/14	J	D	

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 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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 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. Ishares Biotech Fund					Sold (part)	01/21/14	J	C	
19. J.P. Morgan									
20. Johnson and Johnson									
21. Longleaf Partners Fund									
22. Loomis Sayles Bond Fund									
23. Loomis Sayles High Income					Sold (part)	08/08/14	K	A	
24. Matthews China Small Company Fund					Buy (add'l)	01/17/14	J		
25. Matthews Pacific Tiger Fund					Buy	01/21/14	J		
26. Metlife					Sold (part)	01/21/14	J	A	
27.					Sold	03/10/14	J	A	
28. Metlife Convert 2012					Sold (part)	01/21/14	J	A	
29.					Sold	03/10/14	J	A	
30. Microsoft									
31. Occidental Petroleum					Buy	02/05/14	K		
32.					Sold	12/31/14			
33. Oracle Corp.					Buy	12/03/14	J		
34. Osterweis Strategic Inc. Fund					Buy	08/12/14	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 6 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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. Pimco Total Return Fund									
36. Pimco Unconstrated Bond					Sold	09/29/14	K	C	
37. RS Partner Fund									
38. Schlumberger LTD					Buy (add'l)	12/03/14	K		
39. Schroder International Multicap					Buy	01/17/14	K		
40. Schwab Advisor Standard (Cash)					Buy (add'l)	06/16/14	L		
41. Schwab U.S. Treas. FD (X)					Buy (add'l)	06/16/14	J		
42. Sequoia Fund									
43. Target Corp.					Buy	02/12/14	J		
44.					Sold	08/06/14	J	A	
45. T. Rowe Floating Rate Fund fka T. Rowe Price Inst.					Sold (part)	06/27/14	K	D	
46. Tweedy Browne Global					Buy (add'l)	05/21/14	K		
47. Vanguard Corp. Bond ETF					Buy (add'l)	07/01/14	K		
48. Vanguard Mortgage Backed Sec ETF					Buy (add'l)	01/21/14	K		
49.					Sold (part)	11/21/14	K	E	
50. Vanguard Total Bond Market Index									
51. Verizon					Buy	02/21/14	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	
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 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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.					Sold	05/07/14	J	A	
53. Vodafone Group ADR					Buy (add'l)	04/15/14	K		
54. Wells Fargo Structured Note S&P 500									
55. II. Schwab One Brokerage Inst'l	A	Int./Div.	K	T					
56. Aberdeen Emerging Markets	A	Int./Div.			Sold	12/03/14	K	A	
57. Akre Focus Fund		None	J	T					
58. Apple Computer	A	Dividend	K	T	Sold (part)	12/03/14	J	C	
59. Covidien PLC	A	Dividend			Sold	06/18/14	J	D	
60. GS Gold Mine Linked Note 2016		None	J	T					
61. Halliburton	A	Int./Div.	K	T	Sold (part)	12/03/14	J	B	
62. Oracle	A	Dividend			Sold	12/03/14	J	C	
63. Schwab Muni Money Fund	A	Dividend	J	T					
64. Vanguard MSCI EM ETF		None			Sold	01/17/14	J	A	
65. III. Schwab SEP IRA	A	Int./Div.	M	T	Buy	04/15/14	K		
66. Apple	A	Dividend	J	T	Buy	04/08/14	J		
67. Barron Emerging Markets		None	J	T	Buy	06/26/14	J		
68. Schwab Cash Reserves Money Market Account	A	Dividend	M	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 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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. Third Avenue Real Estate	A	Dividend	K	T	Buy	01/23/14	J		
70. Vanguard Corp. Bond ETF	A	Dividend	K	T	Buy	01/21/14	K		
71.					Buy (add'l)	05/22/14	K		
72. Citibank account	A	Interest	N	T					
73. Northwestern Mutual Life Insurance Assets									
74. Northwestern Mut. Life Annuity	A	Interest	M	T					
75. Northwestern Mutual Life Insurance		None	N	T					
76. Northwestern Mutual Life Annuities	A	Distribution	L	T					
77. Northwestern Mutual Life Insurance Trust		None	P1	T					
78. Chase Bank Account	A	Interest	O	T					
79. Wells Fargo Bank account	A	Interest	K	T					
80. Provident Federal Credit Union	A	Interest	O	T					
81. IV. Schwab Living Trust	C	Int./Div.	N	T					
82. DOMIX	B	Int./Div.	K	T	Buy	04/01/14	J		
83.					Buy (add'l)	08/15/14	J		
84.					Buy (add'l)	10/03/14	J		
85. DSI	A	Dividend	K	T	Buy	09/09/14	J		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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 9 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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)
86.					Buy (add'l)	10/22/14	J		
87. PARMX	A	Dividend	K	T	Buy	04/01/14	J		
88.					Buy (add'l)	07/17/14	J		
89. PRBLX	A	Dividend	K	T	Buy	07/17/14	J		
90.					Buy (add'l)	09/09/14	J		
91. PXWIX	B	Dividend	K	T	Buy	04/01/14	J		
92.					Buy (add'l)	08/15/14	J		
93. VFTSX	A	Int./Div.	K	T	Buy	04/01/14	J		
94.					Buy (add'l)	08/18/14	J		
95. Bank of America accounts	A	Int./Div.			Closed	03/17/14	J		
96.									
97.									
98.									
99.									
100.									

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 10 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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

On November 27, 2015, the Committee sent me a letter highlighting certain issues regarding my 2014 financial disclosure report. In response, I am filing this amended report which includes the changes to Part VII discussed below. Below I address each issue raised by the Committee in turn.

1. Part VII, line 33. The reference "(add'l)" should be deleted. This was an initial purchase for this account. The confusion was caused by a simultaneous sale of Oracle in Account II in Part VII, line 62.
2. Part VII, lines 46 and 47 of the 2013 report are the same. It now appears only as GS Gold Mine Linked Note in the 2014 report at Part VII, line 60.
3. Part VII, line 95. The Bank of America accounts were closed on 3/17/14.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

12/11/2015

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544