

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 07/03/2019
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 01/01/2017 to 12/31/2017
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.	Board of Governors	Association of Business Trial Lawyers, Northern California
2.	Custodian	Children's Insurance Policies
3.	Custodian	Children's Annuities
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

07/03/2019

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.		
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.	
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— Section of Antitrust Law	3/28/17-3/31/17	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
2. American Bar Association— Section of Antitrust Law	5/2/17-5/9/17	Amsterdam, The Netherlands	Educational seminar or program	Travel, food, and lodging reimbursement
3. Duke Law Center for Judicial Studies	7/20/17-7/25/17	New York, NY	Educational seminar or program	Travel, food, and lodging reimbursement
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

07/03/2019

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

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.			
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.	American Express	Credit Cards	J

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Illston, Susan Y.

Date of Report

07/03/2019

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. I. Schwab Inst'l Rollover IRA									
2. Aberdeen Emerging Markets Fund		None	K	T					
3. Advance Auto Parts		None	K	T	Buy	11/13/17	J		
4. Akre Focus Fund		None	J	T					
5. Alphabet, Inc.		None	K	T	Sold (part)	08/17/17	K	D	
6. Capital One	A	Dividend	K	T	Sold (part)	03/03/17	K	D	
7. Comcast	A	Dividend	K	T					
8. Devon Energy		None	K	T					
9. Dodge & CDX Income Fund	B	Dividend	L	T	Buy	03/01/17	K		
10. Dodge & CDX International		None	K	T					
11. Dollar Tree		None			Buy	08/10/17	J		
12.					Sold	11/14/17	J	A	
13. General Electric	A	Dividend	K	T	Buy	03/03/17	K		
14.					Buy	11/28/17	K		
15. General Motors	A	Dividend	J	T	Sold (part)	11/03/17	J	C	
16. GS Bond Fund Inst	A	Dividend	K	T	Buy	01/27/17	K		
17. Halliburton	A	Dividend	J	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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☐ 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. Harbor Cap Appreciation Fund	A	Dividend	K	T	Sold (part)	10/20/17	J	D	
19. Harbor International Fund	A	Dividend	K	T					
20. Ishares Biotech Fund	A	Dividend	K	T					
21. JPN Int'l Unconstrained Fund		None	K	T	Buy	06/06/17	K		
22. Johnson & Johnson	B	Dividend	K	T	Sold (part)	10/20/17	J	D	
23. Loomis Sayles Bond Fund	A	Dividend	K	T	Sold (part)	02/06/17	J	D	
24.					Sold	03/15/17	K	E	
25. Lord Abbett Bond	A	Dividend			Sold	09/21/17	K	E	
26. Matthews China Small Company Fund		None			Sold	02/24/17	J	D	
27. Matthews Asia Pacific Fund	B	Dividend	K	T	Buy	02/24/17	K		
28. Matthews Pacific Tiger Fund	A	Dividend	K	T		03/03/17			
29. Metlife	A	Dividend	K	T					
30. Microsoft	A	Dividend	K	T	Sold (part)	09/16/17	J	C	
31.					Sold (part)	09/27/17	J	C	
32. Mylan NV		None	J	T	Buy	08/18/17	J		
33. Oaktree Cap. Group	B	Dividend	K	T					
34. Oracle Corp.	A	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 \$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

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07/03/2019

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35. Osterweis Strategic Inc. Fund	B	Dividend	K	T	Buy	10/03/17	K		
36. Range Resources		None	J	T	Buy	09/12/17	J		
37. Schlumberger LTD	A	Dividend	K	T					
38. Schwab Advisor Standard (Cash)	A	Dividend	K	T					
39. Teva Pharm.	A	Dividend	J	T	Buy	01/06/17	J		
40.					Buy	05/23/17	J		
41.					Sold	05/04/17	J	A	
42. TJX Companies		None	J	T	Buy	09/29/17	J		
43.						11/13/17	J		
44. Tweedy Browne Global	A	Dividend			Sold	06/06/17	K	E	
45. Walt Disney	A	Dividend	K	T	Buy	06/16/17	J		
46.					Buy	09/07/17	J		
47. Wells Fargo & Co.	B	Dividend	K	T					
48. II. Schwab One Brokerage Inst'l									
49. Akre Focus Fund		None	J	T					
50. Allergan Inc.	A	Dividend	J	T	Buy	11/29/17	J		
51. Antero Resources		None			Sold (part)	03/10/17	J	D	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Illston, Susan Y.

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52.					Sold (part)	09/08/17	J	D	
53.					Sold	09/12/17	J	D	
54. Apple Computer	A	Dividend	K	T	Sold (part)	08/01/17	J	C	
55.			K	T	Sold (part)	08/16/17	J	C	
56. Baron Emerg. Mkt.		None	K	T					
57. First Eagle Gold FD		None	K	T	Buy	01/27/17	J		
58.					Buy	03/09/17	J		
59.					Buy	11/16/17	K		
60. General Motors	A	Dividend	J	T					
61. GS MLP Energy Infrastructure Fund	A	Dividend	K	T	Buy	03/31/17	K		
62. Intel Corp		None	K	T	Buy	11/29/17	J		
63.					Buy	09/05/17	J		
64.					Buy	12/08/17	J		
65. Kinder Morgan Inc.	A	Dividend	J	T	Buy	03/03/17	J		
66.					Sold (part)	11/30/17	J	C	
67. Oaktree Cap. Grp.					Sold	12/28/16	K	E	
68.					Sold	12/28/16	K	A	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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Illston, Susan Y.

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69. Pear Tree Polaris	A	Dividend	K	T					
70. Qualcomm	A	Dividend	K	T	Sold (part)	09/05/17	J	D	
71.					Sold (part)	11/08/17	J	C	
72. Range Resources		None	J	T	Buy	03/10/17	J		
73.					Buy	09/08/17	J		
74. Schwab Muni Money Fund	A	Dividend	L	T					
75. Time Warner		None			Sold	01/05/17	J	E	
76. Weyerhaeuser Co	A	Dividend	J	T	Buy	08/17/17	J		
77.						09/01/17	J		
78. Williams Co.		None	J	T	Buy	11/30/17	J		
79. III. Schwab SEP IRA									
80. Apple Computer	A	Dividend	K	T					
81. Baird Core Plus Bond Indust	A	Dividend	K	T	Buy	03/15/17	K		
82. Baron Emerging Markets		None	K	T					
83. Schwab Cash Reserves Money Market Account	A	Dividend	K	T					
84. T Rowe Price Inst.	B	Dividend	L	T					
85. IV. Schwab Living Trust									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Illston, Susan Y.

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86. DOMIX	B	Dividend	L	T	Buy (add'l)	06/24/16	J		
87. DSI	A	Dividend	K	T	Sold (part)	11/16/16	J	A	
88. PARMX	A	Dividend	K	T					
89. PRBLX	A	Dividend	K	T	Buy (add'l)	06/24/16	J		
90. PXWIX	A	Dividend	K	T					
91. SWZXX (Cash Reserves Money Market Fund)	A	Dividend	J	T					
92. VFTSX	A	Dividend	L	T					
93. Citibank Account	A	Interest	N	T					
94. Northwestern Mutual Life Insurance Assets									
95. Northwestern Mutual Life Annuity, fixed	A	Interest	M	T					
96. Northwestern Mutual Life Children's Insurance, whole life		None	N	T					
97. Northwestern Mutual Life Children's Annuities, fixed	D	Distribution	L	T					
98. Northwest Mutual Life Insurance Trust		None	P1	T					
99. Chase Bank Account	A	Interest	O	T					
100. Wells Fargo Bank Account	A	Interest	K	T					
101. Provident Federal Credit Union	A	Interest	O	T					
102.									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

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

Part VII, Oaktree Cap Grp (Entry 67), was sold 12/28/16. This transaction was inadvertently omitted from the 2016 Report.

Part VII, line 98: Northwest Mutual Life Insurance Trust-- no reportable assets in the trust.

In amending the 2017 report, we also identified and made several additional corrections. These are:

Part VII, Dollar Tree (Entry 11)-- Column C should be blank.

Part VII, Mylan NV (Entry 32)-- Column B(1) should be blank.

Part VII, Antero Resources (Entries 51 and 52)-- Column D(1) should be Sold (part).

Part VII, Apple Computer (Entry 55)-- Column D(1) should be Sold (part).

Part VII, Kinder Morgan, Inc. (Entry 66)-- Column D(1) should be Sold (part).

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Illston, Susan Y.

Date 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/ 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