

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) Freeman, Beth L.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 04/29/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	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 280 South First St. San Jose, CA 95113		
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.	Member, Board of Governors	Association of Business Trial Lawyers
2.	Director	Junior Statesmen Foundation
3.	Co-Trustee	Freeman Family Trust
4.	Director	Federal Practice Program
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.	1983	San Mateo County Employees Retirement Association - Pension
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. 2017	San Mateo County Employees' Retirement Association - Pension	\$80,874.12
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. Association of Business Trial Lawyers	March 31-April 2, 2017	Monterey, CA	Board of Directors meeting	Transportation, meals, lodging
2. American Bar Association	October 11, 2017	Long Beach, CA	Presentation to conference	Transportation, meals
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.)*

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.		
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. Freeman Aggregate (H)									
2. - DFA US Core Equity I Institutional	A	Dividend	K	T					
3. - SPDR S&P 500 ETF	D	Dividend	N	T					
4. - Schwab Total Stock Market Index Fund	A	Dividend	K	T					
5. - Vanguard Dividend Appreciation ETF	B	Dividend	L	T					
6. - Vanguard Growth Index Fund Investor Shares	A	Dividend	K	T					
7. - Vanguard Total Stock Market ETF	D	Dividend	N	T					
8. - BMO Small-Cap Growth Fund		None			Sold	05/01/17	J		
9. - John Hancock Disciplined Value Mid Cap Fund		None			Buy (add'l)	01/09/17	K		
10.					Sold	05/01/17	M		
11. - Touchstone Small Cap Core Fund		None			Buy (add'l)	01/09/17	K		
12.					Buy (add'l)	01/24/17	K		
13.					Sold	05/01/17	M		
14. - Voya MidCap Opportunities Fund		None			Buy (add'l)	01/09/17	K		
15.					Buy (add'l)	01/24/17	K		
16.					Sold	05/01/17	M		
17. - Artisan International Fund Advisor Class	B	Dividend	M	T	Buy (add'l)	01/09/17	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 H ~\$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	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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18.					Sold (part)	05/16/17	M		
19. - Dodge & Cox International Stock Fund	C	Dividend	M	T	Buy (add'l)	01/09/17	J		
20.					Sold (part)	05/17/17	M		
21. - Oberweis International Opportunities Fund		None			Buy (add'l)	01/09/17	K		
22.					Sold (part)	05/18/17	M		
23. - Vanguard FTSE All World ex-US ETF	A	Dividend	K	T					
24. - Vanguard FTSE Developed Markets ETF	B	Dividend	L	T					
25. - iShares MSCI Pacific ex-Japan ETF	B	Dividend	K	T					
26. - Ashmore Emerging Markets Frontier Equity Fund	B	Dividend	J	T	Buy (add'l)	01/09/17	J		
27.					Sold (part)	06/09/17	M		
28. - Driehaus Frontier Emerging Markets Fund		None			Buy (add'l)	01/09/17	J		
29.					Sold	06/09/17	M		
30. - Angel Oak Flexible Income Fund	E	Dividend			Sold	09/22/17	O		
31. - Stone Ridge All Asset Variance Risk Premium Fund	G	Dividend	P1	T					
32. - FPA Crescent Fund	B	Dividend	K	T					
33. - Glenmede Secured Options Portfolio	E	Dividend	O	T	Sold (part)	11/21/17	J		
34.					Sold (part)	12/13/17	M		

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		

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35. - Stone Ridge Reinsurance Risk Premium Fund	A	Dividend	O	T	Buy (add'l)	12/14/17	M		
36. - RiverPark Short Term High Yield Fund	E	Dividend	O	T					
37. - Shenkman Short Duration High Income	E	Dividend	O	T	Sold (part)	01/18/17	K		
38. - DoubleLine Total Return Bond Fund	E	Dividend	P1	T					
39. - Voya Securitized Credit Fund	E	Dividend	O	T	Sold (part)	01/18/17	K		
40. - Schwab AMT Tax-Free Money Market Fund (Y)									
41. - Schwab U.S. Treasury Money Market Fund	A	Interest	L	T	Buy (add'l)	01/06/17	M		
42.					Buy (add'l)	01/09/17	J		
43.					Sold (part)	01/10/17	M		
44.					Buy (add'l)	01/18/17	J		
45.					Buy (add'l)	01/19/17	J		
46.					Buy (add'l)	01/20/17	K		
47.					Sold (part)	01/25/17	K		
48.					Sold (part)	01/26/17	K		
49.					Buy (add'l)	02/01/17	J		
50.					Buy (add'l)	02/16/17	J		
51.					Buy (add'l)	02/17/17	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 \$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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52.					Buy (add'l)	03/10/17	J		
53.					Buy (add'l)	03/31/17	J		
54.					Buy (add'l)	04/03/17	J		
55.					Buy (add'l)	04/18/17	J		
56.					Sold (part)	04/26/17	K		
57.					Buy (add'l)	05/01/17	J		
58.					Buy (add'l)	05/02/17	J		
59.					Buy (add'l)	05/03/17	M		
60.					Sold (part)	05/04/17	M		
61.					Buy (add'l)	05/16/17	J		
62.					Buy (add'l)	05/18/17	M		
63.					Sold (part)	05/19/17	J		
64.					Sold (part)	05/22/17	M		
65.					Buy (add'l)	06/09/17	J		
66.					Buy (add'l)	06/28/17	J		
67.					Buy (add'l)	07/03/17	J		
68.					Buy (add'l)	07/11/17	K		

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69.					Buy (add'l)	07/17/17	J		
70.					Sold (part)	07/27/17	K		
71.					Buy (add'l)	08/01/17	J		
72.					Buy (add'l)	08/16/17	J		
73.					Buy (add'l)	08/18/17	J		
74.					Buy (add'l)	09/15/17	J		
75.					Buy (add'l)	09/28/17	J		
76.					Buy (add'l)	10/02/17	J		
77.					Buy (add'l)	10/17/17	J		
78.					Sold (part)	10/27/17	K		
79.					Buy (add'l)	11/01/17	J		
80.					Sold (part)	11/15/17	M		
81.					Buy (add'l)	11/16/17	J		
82.					Buy (add'l)	11/17/17	J		
83.					Buy (add'l)	11/24/17	J		
84.					Buy (add'l)	12/05/17	J		
85.					Buy (add'l)	12/15/17	J		

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86.					Buy (add'l)	12/28/17	J		
87. - Schwab Government Money Market Fund	A	Interest	J	T	Buy (add'l)	01/05/17	J		
88.					Sold (part)	01/10/17	K		
89.					Buy (add'l)	01/19/17	J		
90.					Sold (part)	01/20/17	J		
91.					Buy (add'l)	05/18/17	J		
92.					Buy (add'l)	05/19/17	J		
93.					Sold (part)	05/22/17	J		
94.					Buy (add'l)	05/26/17	K		
95.					Sold (part)	05/30/17	K		
96.					Buy (add'l)	09/25/17	K		
97.					Sold (part)	09/26/17	K		
98.					Buy (add'l)	12/14/17	J		
99.					Sold (part)	12/15/17	J		
100. - AT&T Inc New Common Stock	B	Dividend	K	T					
101. - AbbVie Inc Common Stock	B	Dividend	K	T					
102. - Abbott Laboratories Common Stock	A	Dividend	K	T					

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103. - American International Group Common Stock	A	Dividend	K	T					
104. - Apple Inc Common Stock	D	Dividend	N	T					
105. - CVS Corporation Common Stock	C	Dividend	M	T					
106. - Coca Cola Co. Common Stock	C	Dividend	M	T					
107. - Colgate-Palmolive Co. Common Stock	A	Dividend	K	T					
108. - Comcast Corp. New Common Stock	C	Dividend	M	T					
109. - International Business Machines Common Stock	A	Dividend	J	T	Sold (part)	05/01/17	K	C	
110. - Marathon Petroleum Corp Common Stock	A	Dividend	K	T					
111. - MasterCard Inc Common Stock	A	Dividend	L	T					
112. - McDonald Corp Common Stock	B	Dividend	L	T					
113. - Microsoft Corp Common Stock	D	Dividend	N	T					
114. - Pepsico, Inc Common Stock	D	Dividend	M	T					
115. - Procter & Gamble Co Common Stock	C	Dividend	M	T					
116. - Rite Aid Corp Common Stock		None			Sold	12/13/17	J		
117. - Sonic Corp Common Stock	A	Dividend	J	T					
118. - Spectrum Brands Holdings Inc Common Stock	A	Dividend	J	T					
119. - TJX Companies Inc Common Stock	A	Dividend	K	T					

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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)
120. - Target Corporation Common Stock	A	Dividend			Sold	05/01/17	J	B	
121. - Visa, Inc Common Stock	B	Dividend	M	T					
122. - Wal-Mart Stores Inc Common Stock	A	Dividend	K	T					
123. - Walgreens Boots Alliance Inc Common Stock	A	Dividend	K	T					
124. - FSC Retreat at Conroe, Conroe, TX (2014 \$75,000)	D	Rent	L	W					
125. - FSC Estates at Canyon Ridge, San Antonio, TX (2014 \$75,000)	B	Rent	L	W					
126. - FSC Vista Sureno, Phoenix, AZ (2015 \$75,000)	D	Rent	L	W					
127. - FSC Granada Hills, Los Angeles, CA (2015 \$75,000)	C	Rent	L	W	Distributed (part)	07/10/17	K		
128. - FSC Brightwater, Seattle, WA (2016 \$75,000)	C	Rent	L	W					
129. - FSC La Paloma, Albuquerque, NM (2016 \$75,000)	C	Rent	L	W					
130. - FSC Still Waters, Austin, TX (2017 \$125,000)		None	M	W	Buy	11/14/17	M		
131. - Guggenheim Macro Opportunities Fund	C	Dividend	O	T	Buy	09/25/17	O		
132. - Elements US Small Cap Portfolio	C	Dividend	N	T	Buy	05/02/17	M		
133.					Buy (add'l)	05/03/17	M		
134. - Elements International Portfolio	D	Dividend	N	T	Buy	05/17/17	M		
135.					Buy (add'l)	05/18/17	M		
136. - Elements International Small Cap Portfolio	D	Dividend	N	T	Buy	05/19/17	M		

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	

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Name of Person Reporting

Freeman, Beth L.

Date of Report

04/29/2018

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)
137.					Buy (add'l)	05/26/17	M		
138. - Elements Emerging Markets Portfolio	E	Dividend	N	T	Buy	06/12/17	M		
139.					Buy (add'l)	06/27/17	M		
140. Charitable Gift Account (H)									
141. - Schwab Charitable Equity Index Pool		None	J	T	Sold (part)	03/27/17	J		
142. - Schwab Charitable Income Pool		None	J	T	Sold (part)	03/27/17	J		
143. - Schwab Charitable International Pool		None	J	T	Sold (part)	03/27/17	J		
144. - Schwab Charitable Money Market Pool		None	J	T	Sold (part)	03/27/17	J		
145. - Schwab Charitable Short Term Income Pool		None	K	T	Sold (part)	03/27/17	J		
146.					Sold (part)	04/26/17	J		
147.					Sold (part)	08/04/17	J		
148. New Heights Associates LLC (inherited)		None	M	W					
149. Jones Day Capital Account	D	Int./Div.	J	U	Sold (part)	12/31/17	M		
150. Jones Day 2015 Fund	E	Int./Div.	N	U					
151. Wells Fargo Bank	A	Int./Div.	N	U					

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	

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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

III.B Spouse retired on December 31, 2016.

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Name of Person Reporting

Freeman, Beth L.

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04/29/2018

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/ **Beth L. Freeman**

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