

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Henderson, Thelton E.	2. Court or Organization United States District Court Northern District of California	3. Date of Report 01/22/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States 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.	Director	Stiles Hall, Berkeley, CA
2.	Director	Edward J McPetridge American Inn of Court, San Francisco, CA
3.	Director	Historical Society of Northern California, San Francisco, CA
4.	Director	First Voice, San Francisco, CA
5.	Trustee	Coaching Corps, San Francisco, CA
6.	Director	Thelton E Henderson Center for Social Justice, Berkeley, CA

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.		

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Provident Central Credit Union	A	Interest	J	T					
2. Trust - UBS Pace Multi	D	Int./Div.	N	T					
3. -Pace Money Market Investments Fund Class P					Sold (part)	01/24/13	J		
4.					Sold (part)	04/23/13	J		
5.					Sold (part)	07/24/13	J		
6.					Sold (part)	10/24/13	J		
7. -AICFX									
8. -GFAFX									
9. -AEGFX									
10. -NYVTX									
11. -DEMAX					Sold	03/13/13	J	A	
12. -WBFFX									
13. -BFAFX									
14. -TPINX									
15. -WHIAX									
16. -PRTNX									
17. -PTTAX									

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 ~\$250,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	L ~\$50,001 - \$100,000 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. -GATEX									
19. -MDLOX									
20. -ODMAX					Buy	03/14/13	J		
21.									
22. UBS IRA	C	Int/Div.	M	T					
23. -Pace Money Market Investments Fund Class P					Sold (part)	01/24/13	J		
24.					Sold (part)	04/23/13	J		
25. -AICFX					Sold (part)	03/12/13	J	A	
26. -GFAFX					Sold (part)	03/12/13	J	A	
27. -AEGFX					Sold (part)	03/12/13	J	A	
28. -NYVTX					Sold (part)	03/12/13	J	A	
29. -DEMAX					Sold	03/13/13	J	A	
30. -WBFFX					Sold (part)	03/12/13	J		
31. -BFAFX					Sold (part)	03/12/13	J		
32. -TPINX					Sold (part)	03/12/13	J	A	
33. -HYFIX					Sold	03/13/13	J	A	
34. -PRTNX					Sold (part)	03/12/13	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	
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35. -PTTAX					Sold (part)	03/12/13	J		
36. -GATEX					Sold (part)	03/12/13	J	A	
37. -MDLOX					Sold (part)	03/12/13	J	A	
38. -ODMAX					Buy	03/14/13	J		
39. -WHIAX					Buy	03/14/13	J		
40.									

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

This Financial Disclosure Report is being amended in response to the Letter of Inquiry dated 11/25/2014.

In Part VII of the originally filed report, the assets listed at lines 7, 8 and 9 (MFHCBJ, MFTLIF, and MFPITJ) were listed in error. These assets are not owned and are excluded from the amended report. Part VII, line 4, of the original report listed an asset of MFDWED. The correct listing of that asset is DEMAX, which was listed on line 8 of the 2012 report. This asset was sold during 2013, and the transaction is listed on line 11 of the amended return.

On the originally filed report, lines 3 and 6 were misidentified. The asset purchased during the year was ODMAX and is listed on the amended return on lines 20 and 38.

The amended report lists all of the assets that were previously reported on the 2012 Financial Disclosure Report and that were excluded from the original report, as well as all of the activity for assets held during 2013.

The amended report also corrects the value of the Trust in line 2 and the UBS IRA in line 22. The Trust was reported as value code M, but the correct value code is N. The IRA was reported as value code of N, but the correct value code is M.

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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/ Thelton E. Henderson**

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