

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Grewal, Paul S.	2. Court or Organization District Court- Northern District of California	3. Date of Report 6/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address Robert F. Peckham Federal Building 280 S. 1st Street 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. Insert signature on last page.		

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.	Trustee	Trust #1
2.		
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.	2009	Howrey LLP Partnership Agreement with former law firm, no control
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.)*

<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. 2011	Symantec Corporation -- salary
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. Austin IP Law Association	5/16/2011-5/17/2011	Austin, TX	Speech	Transportation, lodging and food
2. North American South Asian Bar Association	6/23/2011-6/25/2011	Los Angeles, CA	Bench/bar panel	Transportation, lodging and food
3. E.D. Texas Bench and Bar Association	9/26/2011-9/27/2011	Irving, TX	Bench/bar panel	Transportation, lodging and food
4. Indian American Bar Association - Chicago	10/7/2011	Chicago, IL	Speech	Transportation, lodging and food
5. South Asian Bar Association San Diego	11/7/2011	San Diego, CA	Speech	Transportation, lodging and food

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6.	National Asian Pacific American Bar Association	11/17/2011-11/18/2011	Atlanta, GA	Bench/bar panel	Food
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of America	Mortgage on rental property #1, San Jose, CA (Pt. VII, line 8)	N
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. Trust #1									
2. -Old Mutual Focus Fund Z Class (Y)									
3. -American Century Income & Growth	A	Int./Div.	K	T					
4. -TD Ameritrade									
5. -Ariba Common Stock (Y)									
6. -Boston Scientific Common Stock (Y)									
7. -Cisco Systems Common Stock (Y)									
8. -Intel Common Stock (Y)									
9. -Microsoft Common Stock (Y)									
10. -Pfizer Common Stock (Y)									
11. -Qwest Common Stock (Y)									
12. -Yahoo! Common Stock (Y)									
13. -T.D. Ameritrade (Money Market Account)	A	Interest	K	T					
14. -T. Rowe Price New Asia	A	Int./Div.	K	T					
15. -ETrade									
16. -ETrade (Deposit Account)	A	Int./Div.	K	T					
17. -Symantec Corporation	A	Dividend	K	T	Buy	2/15/11	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	

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18.					Buy	08/15/11	J		
19. -ING Direct	B	Interest	M	T					
20. -Rental Property #1, San Jose, CA	F	Rent	O	W					
21. First Tech Federal Credit Union (Deposit Accounts) See VIII	D	Interest	N	T					
22. 401(K) #1 (formerly referred to as Charles Schwab)									
23. -Metropolitan West Total Return Fund		None	M	T	Buy	12/31/11	J		
24. -MFS Blended Research U.S. Core Equity See VIII		None	M	T	Buy	12/31/11	J		
25.					Buy	12/31/11	J		
26.					Buy	12/31/11	J		
27.					Buy	12/31/11	J		
28.					Buy	12/31/11	J		
29.					Buy	12/31/11	J		
30. -Vanguard Institutional Index Instl		None	K	T					
31. -Vanguard International Growth Adm		None	K	T					
32. -Vanguard Small Cap Index Instl		None	K	T					
33. -Dodge & Cox International Stock		None	K	T					
34. -Vanguard MidCap Index Ins		None	K	T					

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35. IRA #1 (formerly referred to as Fidelity)									
36. -Fidelity Freedom 2035		None	N	T					
37. -Fidelity Total Mkt Index Investor Class		None	K	T					
38. Fidelity Scholarshare CA Portfolio 2024		None	K	T					
39. T. Rowe Portfolio 2018		None	M	T					
40. Hewlett-Packard Company	A	Dividend	K	T					
41. IRA #2 (formerly referred to as IRA #1)									
42. -Old Mutual Strategic Small Company Fund CI Z (See VIII)		None	J	T					

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

Section I. POSITIONS

2. In my amended initial report, I reported my advisor and member roundtable positions with the North American South Asian Bar Association and South Asian Bar Association of Northern California. Although I continue to hold those positions, I no longer list as I now understand that non-fiduciary positions such as these are properly excluded.

Section VII. INVESTMENTS and TRUSTS

21. First Tech Federal Credit Union (Deposit Accounts) (formerly referred to as Addison Avenue Credit Union)

23-29. Note that because of a transfer of accounts, I am unable to access records identifying specific dates for these transactions. I therefore listed the last day of the reporting period for each of these transactions. The value code reflects the total value of purchases during the reporting period.

24. MFS Blended Research U.S. Core Equity (formerly referred to separately as Hotchkis and Wiley Large Cap Value Fund and American Funds Growth Fund of America)

42. Old Mutual Strategic Small Company Fund CI Z (formerly known as Old Mutual Fours Fund 2 Class Mutual)

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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/ Paul S. Grewal**

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