

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) Illston, Susan Y.	2. Court or Organization U.S. District Court, N.D. Cal.	3. Date of Report 12/12/2014
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 01/01/2013 to 12/31/2013
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	Insurance Policies
3.	Custodian	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.		

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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. 2013	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 -- EEO Committee	4/4/13-4/7/13	Savannah, GA	Educational seminar or program	Travel, food, and lodging reimbursement
2. American Bar Association -- Antitrust Division	4/8/13-4/12/13	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
3. Association of Business Trial Lawyers	10/4/13-10/6/13	Laguna Nigel, CA	Educational seminar or program	Travel, food, and lodging reimbursement
4. Eastern District of Texas Bench and Bar Association	10/31/13-11/1/13	Plano, TX	Educational seminar or program	Travel, food, and lodging reimbursement
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.)*

	<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.	Chase	Credit Cards	J
2.	Citibank	Credit Cards	J
3.	Schwab Bank	Credit Cards	J
4.	Wells Fargo	Credit Cards	J
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. I. Schwab Inst'l Rollover IRA	A	Int./Div.	O	T					
2. Aberdeen Emerging Markets Fund									
3. Akre Focus Fund									
4. Baxter International Inc.					Buy	10/10/13	J		
5. Comcast									
6. Covidien									
7. Devon Energy					Buy	07/02/13	J		
8. Emerson Electric					Sold (part)	10/18/13	J	D	
9. Exxon					Sold (part)	07/02/13	J	C	
10. FPA Crescent Fund					Buy	10/18/13	J		
11. General Electric									
12. GS - Structured Note MSCI EM 2014									
13. Harbor Cap Appreciation Fund					Buy (add'l)	10/18/13	J		
14. Harbor International Fund									
15. Ishares Biotech Fund									
16. J.P. Morgan					Sold (part)	05/30/13	J	B	
17. Johnson and Johnson					Sold (part)	05/24/13	J	B	

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	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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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. Longleaf Partners Fund					Sold (part)	10/18/13	K	D	
19. Loomis Sayles Bond Fund									
20. Loomis Sayles High Income					Buy	09/11/13	K		
21.					Buy	10/18/13	K		
22. Matthews China Small Company Fund					Buy	03/28/13	J		
23. Merck & Company					Sold	10/10/13	J	C	
24. Metlife									
25. Metlife Convert 2012					Buy	05/09/11	J		
26. Microsoft									
27. Pimco Total Return Fund									
28. Pimco Unconstrated Bond									
29. RS Partner Fund									
30. Schlumberger LTD									
31. Schwab Advisor Standard (Cash)									
32. Schwab U.S. Treas. FD									
33. Sequoia Fund									
34. T. Rowe Floating Rate Fund fka T. Rowe Price Inst.									

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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	(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. Tweedy Browne Global									
36. Vanguard Corp. Bond ETF					Buy	10/21/13	J		
37. Vanguard Mortgage Backed Sec ETF					Buy	10/21/13	K		
38. Vanguard Total Bond Market Index									
39. Vodafone Group ADR									
40. Wells Fargo Structured Note S&P 500									
41. II. Schwab One Brokerage Inst'l									
42. Aberdeen Emerging Markets	A	Int./Div.	K	T					
43. Akre Focus Fund		None	J	T					
44. Apple Computer	A	Dividend	K	T	Buy	01/24/13	J		
45. Covidien PLC	A	Dividend	J	T					
46. Goldman Sachs		None	J	T	Buy	05/13/13	J		
47. GS Gold Mine Linked Note 2016					Buy	05/13/13	J		
48. Halliburton	A	Int./Div.	K	T					
49. MV Goldminers		None	J	T	Sold	05/13/13	J	D	
50. Oracle		None	J	T					
51. Schwab Muni Money Fund	A	Dividend	J	T					

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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	
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52. Vanguard MSCI EM ETF		None	J	T					
53. III. Schwab SEP IRA									
54. Schwab Cash Reserves Money Market Account		None	M	T	Buy	04/15/13	K		
55. Citibank account	A	Interest	N	T					
56. Bank of America account	A	Interest	M	T					
57. Northwestern Mutual Life Insurance Assets									
58. Northwestern Mut. Life Annuity	A	Interest	M	T					
59. Northwestern Mutual Life Insurance		None	N	T					
60. Northwestern Mutual Life Annuities	A	Distribution	L	T					
61. Northwestern Mutual Life Insurance Trust		None	P1	T					
62. Chase Bank Account	A	Interest	O	T					
63. Wells Fargo Bank account	A	Interest	K	T					
64. Provident Federal Credit Union	A	Interest	O	T					
65. Selected American Shares					Sold	8/3/12	K		

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

On December 1, 2014, the Committee sent me a letter highlighting certain issues regarding my 2012 and 2013 financial disclosure reports. 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, p. 5, line 25 of 2013 Report. MetLife Convert 2012 was previously bought on 05/09/11, but erroneously omitted from prior reports.
2. Part VII, p. 5, line 34 of 2013 Report. T. Rowe Floating Rate Fund was formerly known as T. Rowe Price Inst., which was bought on 09/13/11 and correctly reported on the 2011 Report. They are the same financial instrument.
3. Part VII, p. 7, line 54 of 2013 Report. Schwab Cash Reserves Money Market Account is the only asset in the new SEP-IRA.
4. Part VII, p.5, line 34 of 2012 Report. Selected American Shares was sold on 08/03/12 for \$24,864.59 but was not included on the 2012 Report.
5. Part VII, p. 6, line 36 of 2012 Report. See comment (2) above.

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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