

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) SEEBORG, RICHARD G.	2. Court or Organization U.S. District Court N.D. Cal.	3. Date of Report 5/1/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District 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 United States Courthouse 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2011	Matthew Bender & Co., Inc. (Book Royalties)	\$1,698.08
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.				
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.)*

	<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.	Wells Fargo Bank	17% of mortgage obligation on rental property, Kamuela, HI	L
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. Morgan Stanley Asset Fund (Money Market)	C	Interest	P1	T					
2. Merck & Co., Inc.	B	Dividend			Sold	04/25/11	K	D	
3. Aegon NV ADR	A	Dividend			Sold	04/25/11	J	B	
4. Applied Materials	A	Dividend			Sold	04/25/11	J	B	
5. Schlumberger Ltd.	A	Dividend	J	T					
6. Scudder Greater-Europe Growth Fund	A	Dividend	J	T					
7. Scudder Latin America Fund	B	Dividend	K	T					
8. Templeton World Fund - Class I	A	Dividend	K	T					
9. Templeton Developing Market Trust Class A	A	Dividend	J	T					
10. Vanguard 500 Index Fund	B	Dividend	L	T					
11. Vanguard Growth Index Fund	A	Dividend	K	T					
12. Vanguard International Growth Fund	A	Dividend	K	T					
13. Vanguard U.S. Growth Fund	A	Dividend	K	T					
14. Wells Fargo Checking Account	A	Interest	K	T					
15. Emerson Electric	A	Dividend	J	T					
16. John Hancock Regional Bank Fund	B	Dividend	K	T					
17. JP Morgan Chase (formerly Bank One Corp)	A	Dividend	J	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 = \$250,000.01 - \$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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18. Computer Sciences Corp.	A	Dividend	J	T					
19. Intel Corp	B	Dividend	K	T					
20. Van Kampen Comstock Fund	A	Dividend	L	T					
21. Invesco Special Value Fund C	A	Dividend	K	T					
22. John Hancock Small Cap Value Fund	A	Dividend	K	T					
23. American Amcap FD	A	Dividend			Sold	04/07/11	L	A	
24. American New Perspective Fund	A	Dividend			Sold	04/25/11	L	D	
25. American Growth Fund of America	A	Dividend			Sold	04/07/11	L	D	
26. Invesco Global Core Equity Fund (See Part VIII)	C	Dividend	L	T					
27. American W Mutual A Fund	B	Dividend			Sold	04/25/11	K	A	
28. Allianz Int'l Fund	A	Dividend			Sold	04/25/11	J	A	
29. MFS New Core Equity A (See Part VIII)	A	Dividend	K	T					
30. American Europacific Growth	A	Dividend			Sold	04/25/11	K	A	
31. Duke Energy	A	Dividend			Sold	04/25/11	J	A	
32. First Energy	A	Dividend			Sold	04/25/11	J	A	
33. Jet Blue Airways	A	Dividend			Sold	04/25/11	J	A	
34. Peet's Coffee	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Morgan Stanley Note	A	Interest			Sold	04/15/11	K	A	
36. Schell-Vista Fire Bond	A	Interest	K	T					
37. Van Kampen Senior Loan	A	Dividend	K	T					
38. Allianz Nacm Intern.	A	Dividend	J	T					
39. Chevron Corp	A	Dividend	K	T					
40. Clorox Corp	A	Dividend	K	T					
41. Compass Fund	A	Dividend			Sold	11/30/11	L	A	
42. General Electric Corp	A	Dividend	J	T					
43. Highwood	A	Interest			Redeemed	06/24/11	J	A	
44. Morgan Stanley Focus Growth Fund	A	Dividend	J	T					
45. Diversified Dividend A Fund (See Part VIII)	A	Dividend	J	T					
46. Invesco Global Growth Fund A (See Part VIII)	A	Dividend	K	T					
47. Virtus	A	Dividend	J	T					
48. Mortgage Stanley Strategist Fund A	A	Dividend	K	T					
49. Invesco Global Core Equity Fund A (See Part VIII)	A	Dividend	K	T					
50. One-sixth interest Condominium Kamuela, HI	D	Rent	L	W					
51. L.A. Water Dept Bond	B	Interest	L	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. Manhattan Beach Water Bond	A	Interest	J	T					
53. American Capital World Growth Fund	B	Interest			Sold	04/07/11	K	A	
54. Van Kampen Dynamic Opp Fund	B	Dividend	K	T					
55. BST Hospitality LLC	A	Distribution	M	U					
56. Spectra Energy	A	Dividend			Sold	04/25/11	J	A	
57. Highland Credit Strategies Fund	A	Dividend	J	T					
58. Contra Costa Public Finance Bond (2 parts)	A	Interest	J	T					
59. Cal EDL Fac. Bond	A	Interest			Redeemed	11/01/11	L		
60. Acalones School Bond	A	Interest	L	T					
61. California Health Facilities Bond	A	Interest	M	T					
62. California State Public Works Bond	A	Interest	M	T					
63. Metropolitan Water District - So Cal Bond	A	Interest	L	T					
64. American Money Market A	A	Interest			Sold	04/25/11	K	A	
65. East Bay Municipal Utility District Bond	A	Interest	M	T	Buy	07/13/11	M		
66. Los Angeles Water and Power Bond 2026	A	Interest	L	T	Buy	07/12/11	L		
67. Pasadena Electric Bond	A	Interest	L	T	Buy	11/16/11	L		
68. Piedmont Unified School District Bond	A	Interest	L	T	Buy	07/12/11	L		

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

Part VII, Number 26: The full description of the asset is, "Invesco Global Core Equity Fund (formerly Van Kampen Global Franchise Fund)."

Part VII, Number 29: The full description of the asset is, "MFS New Core Equity A (formerly MFS New Endeavor A Fund)."

Part VII, Number 45: The full description of the asset is, "Diversified Dividend A Fund (formerly Invesco Dividend Growth Securities Fund)."

Part VII, Number 46: The full description of the asset is, "Invesco Global Growth Fund A (formerly Invesco Advantage Fund A)."

Part VII, Number 49: The full description of the asset is, "Invesco Global Core Equity Fund A (formerly Van Kampen Global Franchise Fund)."

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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/ **RICHARD G. SEEBORG**

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