

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Lloyd, Howard R.	2. Court or Organization Northern District California	3. Date of Report 08/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 280 S. 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. 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.	
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. 04/25/2016	Kalmbach Publishing Company	\$750.00
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.				
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.		
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. Bank of the West # 1 checking		None	J	T					
2. Bank of the West # 2 checking		None	K	T					
3. TRUST #1:									
4. Vanguard Brokerage #2 (X)									
5. - Dodge & Cox Balanced # 1	C	Dividend	M	T					
6. Vanguard Fed M/M #2 (X)									
7. Vanguard CA T/F M/M #1	A	Dividend	K	T					
8. Vanguard Brokerage #1 (X)									
9. - Manager's Special Equity		None	L	T					
10. - Dodge & Cox Balanced # 2	D	Dividend	N	T					
11. - Longleaf Partners	B	Dividend	M	T					
12. - Oakmark International	C	Dividend	M	T					
13. -Tweedy Brown Value	A	Dividend	L	T					
14. - A T & T	A	Dividend	J	T					
15. - Adams Express	A	Dividend	J	T					
16. - America Movil (former AMX)	A	Dividend	J	T					
17. - Archer Daniels	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 = \$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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☐ 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)

18. - Auto Desk		None	J	T					
19. - Boeing	A	Dividend	J	T					
20. - Bristol Meyers	A	Dividend	J	T					
21. - Centerpoint	A	Dividend	J	T					
22. - Chevron	B	Dividend	K	T					
23. - Colgate	A	Dividend	J	T					
24. - Costco	A	Dividend	J	T					
25. - Dean Foods	A	Dividend	J	T					
26. - Dupont	A	Dividend	J	T					
27. - Ennis	A	Dividend	J	T					
28. - Exxon	A	Dividend	K	T					
29. - General Electric	A	Dividend	J	T					
30. - Genuine Parts	A	Dividend	J	T					
31. - Glaxo	A	Dividend	J	T					
32. - IBM	B	Dividend	K	T					
33. - Johnson & Johnson	A	Dividend	K	T					
34. - Medtronic	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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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				
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35. - Pepco Holdings		Dividend			Sold	03/28/16	J	A	
36. - Pepsico	A	Dividend	K	T					
37. - Pfizer	A	Dividend	J	T					
38. - TriContinental	A	Dividend	J	T					
39. - Veriphone		None	J	T					
40. - Verizon	A	Dividend	K	T					
41. - Vodaphone	A	Dividend	J	T					
42. - WEC Energy Group	A	Dividend	K	T					
43. - Whitewave		None	J	T					
44. - Xcel Energy	A	Dividend	K	T					
45. - Zimmer Holdings	A	Dividend	K	T					
46. -3M Co.	A	Dividend	J	T					
47. Brokerage Account: W. Hummer (Y)									
48. TownBank M/M Sweep (Y)									
49. Vanguard Fed M/M #1 (X)	A	Dividend	K	T					
50. Vanguard 500 Index # 1	D	Dividend	O	T	Sold (part)	03/18/16	J		
51.					Sold (part)	06/20/16	J		

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52.					Sold (part)	09/12/16	J		
53.					Sold (part)	12/12/16	J		
54. Vanguard Total Stock. Index	D	Dividend	N	T					
55. Vanguard 500 Index # 2	C	Dividend	M	T	Sold (part)	03/18/16	J		
56.					Sold (part)	06/20/16	J		
57.					Sold (part)	09/12/16	J		
58.					Sold (part)	12/21/16	J		
59. Vanguard CA Intermed. T/F Bond #1	B	Dividend	L	T	Buy (add'l)	03/14/16	J		
60.					Buy (add'l)	03/18/16	J		
61.					Buy (add'l)	06/13/16	J		
62.					Buy (add'l)	06/20/16	J		
63.					Buy (add'l)	09/12/16	J		
64.					Buy (add'l)	09/12/16	J		
65.					Buy (add'l)	12/19/16	J		
66.					Buy (add'l)	12/21/16	J		
67. Vanguard REIT	B	Dividend	K	T	Sold (part)	03/18/16	J		
68.					Sold (part)	06/20/16	J		

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69.					Sold (part)	09/12/16	J		
70.					Sold (part)	12/21/16	J		
71. Vanguard Total Int'l. Stock	D	Dividend	N	T	Buy (add'l)	03/18/16	J		
72.					Buy (add'l)	06/20/16	J		
73.					Buy (add'l)	09/12/16	J		
74.					Buy (add'l)	12/21/16	J		
75.					Buy (add'l)	12/30/16	J		
76. Vanguard CA Intermed T/F Bond #2	E	Dividend	O	T	Buy (add'l)	03/18/16	J		
77.					Buy (add'l)	06/20/16	J		
78.					Buy (add'l)	09/12/16	J		
79.					Buy (add'l)	12/21/16	J		
80. Vanguard CA T/F M/M#2	A	Dividend	N	T					
81. VANGUARD IRAS:									
82. - Total Stock Index	D	Dividend	N	T	Sold (part)	03/15/16	K		
83.					Sold (part)	06/15/16	K		
84.					Sold (part)	09/15/16	K		
85.					Sold (part)	12/15/16	K		

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86. - Extended Market Index	D	Dividend	O	T	Sold (part)	03/15/16	J		
87.					Sold (part)	06/15/16	J		
88.					Sold (part)	09/15/16	J		
89.					Sold (part)	12/15/16	J		
90. - Primecap	C	Dividend	N	T					
91. - Total Bond Index #1	E	Dividend	P1	T					
92. - Total Bond Index # 2	C	Dividend	M	T					
93. -U.S. Value	C	Dividend	M	T	Sold (part)	12/30/16	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Investments: All assets in TRUST #1, line 3, are shown on lines 4 through 79.

Line 6: no income, no assets during reporting period.

Lines 47 and 48: W. Hummer Brokerage account and linked TownBank M/M sweep accounts were closed and assets moved to new accounts, Vanguard Brokerage #1 (line 4) and Vanguard Federal M/M #1 (line 49).

Line 80 added Vanguard CA T/F M/M #2 which was inadvertently omitted from original report.

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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/ **Howard R. Lloyd**

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