

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) Breyer, Charles R.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 06/19/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District 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 U.S. District Court, Northern District of California 450 Golden Gate Avenue, 17th Floor 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.)

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.		
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. 2016	City Arts & Lectures, Inc. - 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. American Bar Association	March 3, 2016	San Diego, California	Served as panelist at the National Institute on White Collar Crime	Airfare, taxis
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.	First Republic Bank	Notes payable to banks - secured	M
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. Pacific Gas & Electric, common stock	B	Dividend	L	T					
2. First Niagara Group, common stock	A	Dividend	J	T					
3. U.S. Bancorp, common stock	B	Dividend	M	T					
4. U.C. Hastings Retirement Savings Plan	A	Dividend	J	T					
5. Protective Life Insurance whole life plan	A	Dividend	M	T					
6. First Republic Bank, cash accounts	A	Interest	K	T					
7. Chase Bank, cash accounts	A	Interest	J	T					
8. IRA #1 (CRB):									
9. - Columbia Acorn Fund (ACRNX)	E	Dividend	L	T					
10. - Oppenheimer Developing Mkts (ODMAX)	A	Dividend	L	T					
11. - Dodge & Cox Income Fund (DODIX)	D	Dividend	M	T	Sold (part)	11/18/16	M		
12. - iShares Europe ETF (IEV)	C	Dividend	M	T					
13. - Doubleline Total Return Fund (DBLTX)	D	Dividend	N	T					
14. - Spartan US Bond Index (FSITX)	C	Dividend	M	T					
15. - Vanguard Portfolio Div App (VIG)	D	Dividend	N	T					
16. - Diamond Hill Long-Short (DIAMX)	C	Dividend	M	T	Sold (part)	11/01/16	L		
17. -iShares MSCI EAFE Index (EFA)	D	Dividend	M	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 \$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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☐ 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 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. -iShares S&P North American Natural (IGE)	A	Dividend	L	T					
19. -iShares Tr Russell Midcap Index (IWR)	B	Dividend	M	T					
20. -iShares Tr Russell 1000 Growth Index (IWF)	D	Dividend	O	T					
21. -iShares Tr Russell 2000 (IWM)	B	Dividend	M	T					
22. - Templeton Global Bond (TPINX)	D	Dividend	M	T					
23. - Fidelity Cash Reserves (FDRXX)	A	Dividend	K	T	Buy	11/02/16	L		
24. - Fidelity Cash Reserves (FDRXX) [Additional transaction]					Sold	11/18/16	M		RMD for 2016
25. - Spartan InFlat Protect Bond (FSIYX)	C	Dividend	M	T	Buy	11/21/16	M		
26. JOINT COMMUNITY PROPERTY:									
27. - Fidelity Cal Municipal Money Mkt Fund	A	Interest	J	T					
28. - Fidelity Adv. Balanced (FABLX)	A	Dividend	K	T					
29. -Vanguard Int. Term Muni Bond (VWITX)	A	Dividend	J	T					
30. IRA #2 (SRG):									
31. - Fidelity Cash Reserves (FDRXX)	A	Interest	J	T	Buy	11/02/16	J		
32. - Fidelity Cash Reserves (FDRXX) [Additional transaction]					Sold	12/01/16	K		RMD for 2016
33. - Primecap Odyssey Growth (POGRX)	A	Dividend	K	T					
34. - Select American Shares (SLASX)	B	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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35. - Templeton Global Bond Fund - Class A (TPINX)	B	Dividend	K	T					
36. - Oppenheimer Developing Mkts (ODMAX)	A	Dividend	J	T					
37. - Am. Funds Euro Pacific Growth (AEGFX)	A	Dividend	J	T					
38. - Delaware Div. Income (DPDFX)	A	Dividend	K	T					
39. - Diamond Hill Long-Short (DIAMX)	A	Dividend	J	T	Sold (part)	11/01/16	J		
40. - Dodge & Cox Income Fund (DODIX)	B	Dividend	L	T					
41. - Doubleline Total Ret Bond (DBLTX)	B	Dividend	L	T					
42. - iShares Europe ETF (IEV)	A	Dividend	K	T					
43. - iShares MSCI EAFE ETF (EFA)	A	Dividend	K	T					
44. - iShares N.A. Natural Res. (IGE)	A	Dividend	J	T					
45. - iShares Russell 1000 Growth (IWF)	A	Dividend	L	T					
46. - iShares Russell Mid-Cap (IWR)	A	Dividend	J	T					
47. - iShares Russell 2000 (IWM)	A	Dividend	J	T					
48. - Spartan U.S. Bond Index (FSITX)	A	Dividend	J	T					
49. - Vanguard Port. Div. App. (VIG)	B	Dividend	L	W					

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

PART VII - Notes

1. All dividends (both regular and capital gain) were reinvested for the mutual funds shown on Part VII, which results in a minor increase in the number of shares held.

2. IRA #1 and IRA #2 require an annual minimum distribution (aka RMD) after age 70.5. Various holdings are sold (in whole or in part); the proceeds are added to Fidelity Cash Reserves (FDRXX), and the required distribution is made from there (see Items 24 and 32).

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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/ Charles R. Breyer**

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
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