

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) HENDERSON, THELTON E.	2. Court or Organization UNITED STATES DISTRICT COURT NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report 08/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT JUDGE SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address UNITED STATES 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. DIRECTOR	STILES HALL, BERKELEY, CA
2. DIRECTOR	EDWARD J MCFETRIDGE AMERICAN INN OF COURT, SAN FRANCISCO, CA
3. DIRECTOR	HISTORICAL SOCIETY OF NORTHERN CALIFORNIA, SAN FRANCISCO, CA
4. DIRECTOR	FIRST VOICE, SAN FRANCISCO, CA
5. DIRECTOR	THELTON E HENDERSON CENTER FOR SOCIAL JUSTICE, BERKELEY, CA

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. 2014	STATE OF CALIFORNIA - SALARY
2. 2014	SAN JOSE STATE UNIVERSITY FOUNDATION - SALARY
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.)*

SOURCE

DESCRIPTION

VALUE

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.)*

CREDITOR

DESCRIPTION

VALUE CODE

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. PROVIDENT CENTRAL CREDIT UNION	A	Interest	J	T					
2. TRUST - UBS PACE MULTI: (H)									
3. -PACE MONEY MARKET INVESTMENTS FUND	A	Dividend	J	T	Buy (add'l)	01/21/14	J		
4. -INVMT CO OF AMERICA	D	Dividend	K	T	Buy (add'l)	01/16/14	J		
5. -GROWTH FUND OF AMERICA	C	Dividend	K	T	Buy (add'l)	01/16/14	J		
6. -AMERICAN FUNDS EUROPACIFIC GROWTH FUND	B	Dividend	K	T	Buy (add'l)	01/16/14	J		
7. -DAVIS NEW YORK VENTURE FUND	C	Dividend	K	T	Buy (add'l)	01/16/14	J		
8. -OPPENHEIMER DEVELOPING MARKETS FUND	A	Dividend	J	T					
9. -AMERICAN FUNDS CAPITAL WORLD BOND FUND	B	Dividend	K	T					
10. -AMERICAN FUNDS BOND FUND OF AMERICA	C	Dividend	L	T	Sold (part)	01/16/14	J		
11. -FRANKLIN/TEMPLETON GLOBAL BOND FUND	D	Dividend	K	T					
12. -IVY HIGH INCOME FUND	B	Dividend	K	T	Buy (add'l)	01/16/14	K		
13. -PIMCO REAL RETURN FUND					Sold	01/17/14	L		
14. -PIMCO TOTAL RETURN FUND	C	Dividend	L	T	Sold (part)	01/16/14	J		
15. -GATEWAY FUND					Sold	01/17/14	J	A	
16. -BLACKROCK GLOBAL ALLOCATION FUND INC	B	Dividend	K	T	Buy (add'l)	01/16/14	J		
17. IRA - UBS PACE MULTI: (H)									

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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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)
18. -PACE MONEY MARKET INVESTMENTS FUND	A	Dividend	J	T	Buy (add'l)	01/21/14	J		
19. -INVMT CO OF AMERICA	B	Dividend	J	T	Buy (add'l)	01/17/14	J		
20. -GROWTH FUND OF AMERICA	B	Dividend	J	T	Buy (add'l)	01/17/14	J		
21. -AMERICAN FUNDS EUROPACIFIC GROWTH FUND	A	Dividend	J	T	Buy (add'l)	01/17/14	J		
22. -DAVIS NEW YORK VENTURE FUND	B	Dividend	J	T	Buy (add'l)	01/17/14	J		
23. -OPPENHEIMER DEVELOPING MARKETS FUND	A	Dividend	J	T					
24. -AMERICAN FUNDS CAPITAL WORLD BOND FUND	A	Dividend	K	T	Sold (part)	01/16/14	J		
25. -AMERICAN FUNDS BOND FUND OF AMERICA	B	Dividend	K	T	Sold (part)	01/16/14	J		
26. -FRANKLIN/TEMPLETON GLOBAL BOND FUND	B	Dividend	K	T	Sold (part)	01/16/14	J	A	
27. -IVY HIGH INCOME FUND	A	Dividend	K	T	Buy (add'l)	01/17/14	J		
28. -PIMCO REAL RETURN FUND					Sold	01/17/14	K		
29. -PIMCO TOTAL RETURN FUND	B	Dividend	K	T	Sold (part)	01/16/14	J		
30. -GATEWAY FUND					Sold	01/17/14	J	A	
31. -BLACKROCK GLOBAL ALLOCATION FUND INC	B	Dividend	J	T	Buy (add'l)	01/17/14	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of 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/ **THELTON E. HENDERSON**

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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