

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) Henderson, Thelton E.	2. Court or Organization United States District Court Northern District of California	3. Date of Report 10/19/2017
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	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
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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Name of Person Reporting

Henderson, Thelton E.

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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	State of California - salary
2. 2016	San Jose State University Foundation - salary
3. 2016	The Tower Foundation of San Jose State University - salary
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 Credit Union Cash Account	A	Interest	L	T					
2. Trust #1 (H)									
3. -Securities America Cash Account	A	Interest	K	T					
4. -Vanguard Bd Index Fd Inc Intermediate Term Bd ETF	A	Dividend	J	T					
5. -Vanguard Bd Index Fd Inc Long Term Bd ETF	A	Dividend	J	T	Buy (add'l)	11/08/16	J		
6. -Vanguard Bd Index Fd Inc Short Term Bd ETF	A	Dividend	K	T	Sold (part)	02/23/16	J		
7.					Buy (add'l)	12/19/16	J		
8. -Vanguard Charlotte Total Intl Bd Index Fd ETF	A	Dividend	K	T					
9. -Vanguard FTSE Developed Market ETF	A	Dividend	K	T	Buy (add'l)	01/12/16	J		
10. -Vanguard Index Fds Formerly Vanguard Index Tr to 5/24/01 S&P 500 ETF	A	Dividend	K	T	Sold (part)	08/25/16	J	A	
11.					Sold (part)	12/19/16	J	A	
12. -Vanguard Index Tr Vanguard Extended Market Vipers	A	Dividend	J	T					
13. -Vanguard Intl Equity Index Fund Inc FTSE Emerging Markets ETF (form-	A	Dividend	J	T	Sold (part)	01/12/16	J		
14. -erly VANGUARD INTL EQUITY INDEX FDS FTSE ALL WORLD)					Buy (add'l)	01/12/16	J		
15. -Vanguard Scottsdale Fds Vanguard Mtg- Backed Secs Idx Fd ETF	A	Dividend	J	T	Buy (add'l)	11/08/16	J		
16. -City Nat'l Rochdale Emerging Mrkts N		None			Sold	03/17/16	J		
17. -Fidelity NASDAQ Composite Index	A	Dividend	K	T	Sold (part)	12/15/16	J	A	

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. -Meeder Balanced Fund	A	Dividend			Sold	04/08/16	J		
19. -Meeder Dynamic Growth	A	Dividend			Sold	04/08/16	J		
20. -Meeder Muirfield	A	Dividend			Sold	04/08/16	J		
21. -Meeder Quantex Fund	A	Dividend			Sold	04/08/16	J		
22. -Meeder Spectrum Fund		None			Sold	04/08/16	J		
23. -Miller/Howard Infra Structure Retail	A	Dividend			Sold	04/08/16	J		
24. -Fidelity Internatl Index Premium Class (formerly Spartan Intl Index)	A	Dividend	J	T					
25. -Fidelity Real Estate Index Premium Cl (formerly Spartan Real Estate)	A	Dividend	J	T					
26. -Fid Small Cap Index Premium Class (formerly Spartan Small Cap Index)	A	Dividend	J	T					
27. -Fidelity 500 Index Premium Class (formerly Spartan 500 Index Fd Adv)	A	Dividend	K	T	Sold (part)	12/15/16	J	A	
28. -Fidelity Total Mkt Index Premium (formerly Sprtn Total Mkt Indx Fid)	A	Dividend	K	T					
29. -Meeder Total Return Bond	A	Dividend			Sold	04/08/16	J		
30. -Pimco Income Fund C1 D	C	Dividend	K	T	Sold (part)	12/15/16	K		
31. -Fidelity US Bond Index Premium Class (formerly Spartan US Bond Indx)	B	Dividend	K	T	Sold (part)	12/15/16	L		
32. -Meeder Dividend Opportunities Fund	A	Dividend			Sold	11/04/16	J		
33. -Fidelity Select Health Care	A	Dividend			Sold	10/04/16	J		
34. -Pimco Stocksplus Internatl (US\$HDG) A		None			Sold	03/21/16	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
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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NONE (No reportable income, assets, or transactions.)

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35. -Eventide Gilead Fund Class N		None			Sold	03/17/16	J		
36. -Fidelity Contrafund	A	Dividend			Sold	11/04/16	J		
37. -Alger Spectra Fund Class I		None			Sold	11/08/16	J		
38. -Icon Equity Income Fund Class S	A	Dividend	J	T	Buy	04/08/16	J		
39. -Icon Utilities Fund Class S	A	Dividend	J	T	Buy	04/08/16	J		
40. -Locorr Long Short Equity Fund C1 A		None	J	T	Buy	12/15/16	J		
41. -Navigator Tactical Fixed Income C1 A	A	Dividend	K	T	Buy	12/15/16	K		
42. -Columbia Lmt'd Duration Credit C1 A		None	K	T	Buy	12/19/16	K		
43. -Icon Bond Fund C1 S	A	Dividend	K	T	Buy	04/08/16	K		
44. -Loomis Sayles Bond Retail Shares	A	Dividend	K	T	Buy	12/15/16	K		
45. -Blackrock Interntl Index Fd C1 A	A	Distribution			Buy	03/17/16	J		
46.					Sold	11/04/16	J	A	
47. -Dow Jones Wilshire 5000 Index Port Invt	A	Dividend			Buy	03/17/16	J		
48.					Sold	11/04/16	J	A	
49. -Thompson Bond Fund	A	Dividend	K	T	Buy	12/19/16	K		
50. IRA #1 (H)									
51. -Securities America Cash Account	A	Interest	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	
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52. -City Nat'l Rochdale Emerging Mrkts N		None			Sold	03/17/16	J		
53. -Fidelity U.S. Bond Index Premium Class (formerly Spartan US Bond Ind)	A	Dividend	J	T	Sold (part)	01/15/16	J		
54.					Sold (part)	12/15/16	K		
55. -Fidelity 500 Index Premium Class (formerly Spartan 500 Index Fd Adv)	A	Dividend	J	T					
56. -Fidelity Total Mkt Index Premium C1 (formerly Sprtn Total Mkt Indx)	A	Dividend	J	T					
57. -Fidelity Internatl Index Premium Class (formerly Spartan Intl Index)	A	Dividend	J	T					
58. -Fidelity NASDAQ Composite Index	A	Dividend	J	T					
59. -Fid Small Cap Index Premium Class (formerly Spartan Small Cap Index)	A	Dividend	J	T					
60. -Fidelity Real Estate Index Premium C1 (formerly Spartan Real Estate)	A	Dividend	J	T					
61. -Meeder Muirfield	A	Dividend			Sold	04/08/16	J		
62. -Meeder Total Return Bond	A	Dividend			Sold	04/08/16	J		
63. -Meeder Balanced Fund	A	Dividend			Sold	04/08/16	J		
64. -Pimco Income Fund C1 D	B	Dividend	J	T	Sold (part)	01/05/16	J		
65.					Sold (part)	12/15/16	J		
66. -Vanguard Bd Index Fd Inc Long Term Bd ETF	A	Dividend	J	T					
67. -Vanguard Bd Index Fd Inc Intermediate Term Bd ETF	A	Dividend	J	T					
68. -Vanguard Bd Index Fd Inc Short Term Bd ETF	A	Dividend	J	T					

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69. -Vanguard FTSE Developed Market ETF	A	Dividend	J	T					
70. -Vanguard Charlotte Total Intl Bd Index Fd ETF	A	Dividend	J	T					
71. -Vanguard Scottsdale Fds Vanguard Mtg-Backed Secs Idx Fd ETF	A	Dividend	J	T					
72. -Vanguard Index Fds Formerly Vanguard Index Tr to 05/24/01 S&P 500 ETF	A	Dividend	J	T					
73. -Vanguard Index Tr Vanguard Extended Market Vipers	A	Dividend	J	T					
74. -Meeder Dividend Opportunities Fund	A	Dividend			Sold	04/08/16	J		
75. -Fidelity Select Health Care	A	Dividend			Sold	11/04/16	J		
76. -Pimco Stockplus Internatl (US\$HDG) A		None			Sold	03/17/16	J		
77. -Eventide Gilead Fund Class N		None			Sold	03/17/16	J		
78. -Fidelity Contrafund	A	Dividend			Sold	11/04/16	J		
79. -Alger Spectra Fund Class I		None			Sold	11/08/16	J		
80. -Meeder Spectrum Fund		None			Sold	04/08/16	J		
81. -Blackrock Interntl Index Fd C1 A	A	Dividend			Buy	03/17/16	J		
82.					Sold	11/04/16	J		
83. -Columbia Lmted Duration Credit C1 A		None	J	T	Buy	12/19/16	J		
84. -Dow Jones Wilshire 5000 Index Port Invt	A	Dividend			Buy	03/17/16	J		
85.					Sold	11/04/16	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
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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86. -Icon Bond Fund C1 S	A	Dividend	J	T	Buy	04/08/16	J		
87. -Icon Equity Income Fund Class S	A	Dividend	J	T	Buy	04/08/16	J		
88. -Icon Utilities Fund Class S	A	Dividend	J	T	Buy	04/08/16	J		
89. -Locorr Long Short Equity Fund C1 A		None	J	T	Buy	12/15/16	J		
90. -Loomis Sayles Bond Retail Shares	A	Dividend	J	T	Buy	12/15/16	J		
91. -Navigator Tactical Fixed Income C1 A	A	Dividend	J	T	Buy	12/15/16	J		
92. -Thompson Bond Fund	A	Dividend	J	T	Buy	12/19/16	J		
93. -Vanguard Intl Equity Index Fund Inc FTSE Emerging Markets ETF (X) (f-	A	Dividend	J	T					
94. -ormerly VANGUARD INTL EQUITY INDEX FDS FTSE ALL WORLD)									

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544