

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Chen, Edward M.	2. Court or Organization U.S. District Court, N.D. California	3. Date of Report 10/24/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Federal Courthouse 450 Golden Gate Avenue, 16th 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Employee	Trust #2
2. Trustee	Trust #2
3. Trustee	Trust #4
4. Trustee	Trust #5
5. Trustee	Trust #8
6. Trustee	Trust #16
7. Trustee	Trust #17
8. Trustee	Trust #18
9. Trustee	Trust #19
10. Trustor	Trust #20
11. Officer & Director	Realty Co. #1
12. Manager	Limited Liability Co. #1
13. Manager	Limited Liability Co. #2
14. Manager	Limited Liability Co. #3
15. Manager	Limited Liability Co. #4
16. Manager	Limited Liability Co. #5

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17. Manager

Limited Liability Co. #6

18. Manager

Limited Liability Co. #7

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*☐NONE *(No reportable agreements.)*DATEPARTIES AND TERMS

1. 1991

ACLU Employees - Defined Benefit Pension Plan, no control

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. 2015	Trust #2 (salary)	\$26,952.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2015	Trust #2 (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. U.S. Department of Commerce	6/14/2015 - 6/22/2015	Republic of Georgia	Guest Speaker/Panelist at Intellectual Property Workshop	Airfare, hotel, meals, ground transportation
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.	American Savings Bank	Co-signer on mortgage condominium investment	O
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. Trust #2 (Trustee)	A	Interest	N	U					
2.									
3. -Interfamily note (from Trust #8)									
4. -Bank of America (accounts)									
5. -First Republic Bank (account)					Closed	8/20/15	L		
6. -Sterling Bank & Trust (account)									
7. -Aegon NV stock									
8. -R.E. Loans, LLC (account)									
9.									
10. Limited Partnership #3 (Family Limited Partnership)	A	Rent	M	U					
11.		Interest							
12. -Commercial Property #3 (San Francisco, CA)									
13. -Bank of America (accounts)									
14. -First Republic Bank (account)									
15. -Condominium #1 (Kohala Coast, HI)									
16. -El Dorado Hospitality, LLC									
17. -Sterling Bank & Trust (account)									

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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18. -Cathay Bank (account)									
19.									
20. Limited Partnership #5 [REDACTED]	E	Rent	N	U					
21. Limited Partnership)		Interest							
22. -Commercial Property #4 (Sacramento, CA)									
23. -Bank of America (accounts)									
24. -First Republic Bank (account)									
25. -East-West Bank (account)									
26. -Sterling Bank & Trust (account)									
27. -Limited Liability Company #2 [REDACTED]									
28. -Commercial Property #8 [REDACTED]									
29. -Bank of America (account)									
30. -Sterling Bank & Trust (account)									
31. -East-West Bank (account)									
32.									
33. Realty Co. #1 [REDACTED] (stock)	A	Dividend	L	U					
34.		Distribution							

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35. -Bank of America (accounts)									
36. -Sterling Bank & Trust (account)									
37. -East-West Bank (account)									
38.									
39. Bay Area Hotel Associates Limited Partnership (erroneously reported in 2015)					Closed	5/28/14	K	A	
40.									
41.									
42. Life Insurance Policies - New York Life Ins. Co. (Whole Life Policies)	A	Interest	J	T					
43.									
44. Trust #4 (Trustee only)	A	Rent	P1	U					
45.		Interest							
46. -El Dorado Hospitality, LLC									
47. -BST Hospitality, LLC									
48. -Bank of America (account)									
49. -East-West Bank (account)									
50. -Sterling Bank & Trust (account)									
51. -First Republic Bank (account)									

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52. -Pacific Western Bank (account)									
53. -Commercial Condominium (San Francisco, CA)									
54. -Limited Partnership #3 [REDACTED] Family									
55. Limited Partnership)									
56. -Limited Partnership #5 [REDACTED]									
57. Limited Partnership)									
58. -Limited Liability Co. #1 [REDACTED]									
59. -Commercial Building #9 (San Francisco, CA)									
60. -Commercial Building #10 (San Francisco, CA)									
61. -Bank of America (accounts)									
62. -First Republic Bank (account)									
63. -Sterling Bank & Trust (account)									
64. -East-West Bank (account)									
65. -Limited Partnership #1 [REDACTED]									
66. Limited Partnership)									
67. -Limited Liability Co. #5 [REDACTED]									
68. -Bank of America (accounts)									

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69. -First Republic Bank (account)									
70. -Sterling Bank & Trust (account)									
71. -Commercial Property #1 (San Francisco, CA)									
72. -Limited Liability Co. #7 (Sun City Center, LLC)									
73. -Commercial Property #8 (Sacramento, CA)									
74. -Bank of America (accounts)									
75. -Sterling Bank & Trust (account)									
76. -Cathay Bank (account)									
77. -Limited Liability Co. #3 [REDACTED]									
78. -Commercial Property #7 (Sacramento, CA)									
79. -Sterling Bank & Trust (account)									
80. -First Republic Bank (accounts)									
81. -Bank of America (accounts)									
82. -East West Bank (accounts)									
83. -Cathay Bank (accounts)									
84. -Limited Liability Company #2									
85.									

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86. Trust #5 (Co-Trustee only)	A	Rent	O	U					
87.		Interest							
88. -Cathay Bank (account)									
89. -East-West Bank (account)									
90. -Sterling Bank & Trust (account)									
91. -First Republic Bank (account)									
92. -Limited Liability Co. #3 [REDACTED]									
93. -Limited Liability Co. #7 [REDACTED]									
94. -Limited Partnership #2 [REDACTED]									
95. -Commercial Property #2 (San Francisco, CA)									
96. -Bank of America (accounts)									
97. - Cathay Bank (account)									
98. -First Republic Bank (account)									
99. -Pacific Western Bank (account)									
100. -Sterling Bank & Trust (account)									
101. -R.E. Loans, LLC (account)									
102. -East-West Bank (accounts)									

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103. -J.P. Morgan Chase (bond)									
104.									
105. Merrill Lynch - IRA	A	Dividend	M	T					
106. -Account - Merrill Lynch									
107. -Calvert Social Investment Fund Balanced Portfolio									
108. -Ariel Appreciation Fund									
109. -Calvert Social Index									
110. -Templeton Foreign Fund									
111. -Templeton Developing									
112.									
113. Merrill Lynch - IRA	A	Dividend	L	T					
114. -Account - Merrill Lynch									
115. -Calvert Social Investment Fund Balanced Portfolio									
116. -Franklin U.S. Government Series Class A									
117. -Calvert Large Cap Core									
118. -Templeton Developing									
119. -Templeton Foreign Fund									

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120.									
121. Lincoln Financial Group (403(b))	B	Dividend	L	T					
122. -LVIP UBS Global Asset Allocation									
123. -LVIP Delaware Social Awareness									
124.									
125. Bank of America (accounts)	B	Interest	M	T					
126.									
127. Sterling Bank & Trust (accounts)	A	Interest	K	T					
128.									
129.									
130. Trust #16 (Trustee only)	A	Rent	P1	U					
131.		Interest							
132. -Bank of America (account)									
133. -Sterling Bank & Trust (account)									
134. -Limited Partnership #2 ()									
135.									
136. Limited Liability Co. #4 ()	D	Rent	L	U					

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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.)

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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				
	(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)
137.		Interest							
138. -Bank of America (account)									
139. -Limited Partnership #1 [REDACTED] Limited Partnership)									
140. Limited Partnership #2 [REDACTED] [REDACTED]									
141. -Limited Partnership #3 [REDACTED] [REDACTED])									
142. -Limited Partnership #5 [REDACTED] [REDACTED]									
143.									
144. Limited Liability Co. #6 [REDACTED])	G	Rent	P1	U					
145.		Interest							
146.									
147. -Condominium #4 (Kohala Coast, HI)									
148. -Provident Credit Union (account)									
149. -Ally Bank (account)									
150. -Bank of America (account)									
151. -First Republic Bank (account)									
152. -Pacific Western Bank (account)									
153. -East-West Bank (account)									

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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Name of Person Reporting

Chen, Edward M.

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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)
154. -Condominium #5 (Maui, HI)									
155. -Commercial Condominium (San Francisco, CA)									
156. -Sterling Bank & Trust (account)									
157. -Commercial Property #12 (San Rafael)					Buy	9/24/15	O		Brenda Burton-Smith
158.									2014 Revocable Trust
159.									
160. Limited Liability Co. #7 [REDACTED], [REDACTED]	A	Rent	P1	U					
161.									
162. BST Hospitality, LLC	F	Dividend	N	U					
163.									
164. Trust #17	E	Rent	O	U					
165.		Interest							
166. -Commercial Property #11 (Petaluma, CA)									
167. -East-West Bank (account)									
168. -Bank of America (account)									
169.									
170. Trust #18 (Trustee only)	A	Interest	O	U					

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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Name of Person Reporting

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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)
171. -East-West Bank (account)									
172. -Sterling Bank & Trust (account)									
173. -Cathay Bank (account)									
174. -First Republic Bank									
175.									
176. Trust #19	G	Rent	O	U					
177.		Interest							
178. -Bank of America (account)									
179. -Limited Liability Co. #1 [REDACTED], [REDACTED]									
180. Commercial Condominium (San Francisco, CA)									
181.									
182. Trust #20 (Spouse Trustee)	G	Rent	P1	U					
183.		Interest							
184. -Bank of America (account)									
185. -Limited Liability Co. #1 [REDACTED], [REDACTED]									
186. -Limited Partnership #3									
187. -Limited Liability Co. #5									

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	

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)
188. -Limited Liability Co. #6									
189. -Limited Liability Co. #3									

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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Name of Person Reporting

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

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Name of Person Reporting

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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/ Edward M. Chen**

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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Washington, D.C. 20544