

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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. Cal.	3. Date of Report 7/31/2012
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 1/1/2011 to 12/31/2011
7. Chambers or Office Address U.S. Federal Courthouse 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. Insert signature on last page.		

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 #3
4. Trustee	Trust #4
5. Trustee	Trust #5
6. Trustee	Trust #8
7. Trustee	Trust #16
8. Trustee	Trust #17
9. Trustee	Trust #18
10. Officer & Director	Realty Co. #1
11. Manager	Limited Liability Co. #1
12. Manager	Limited Liability Co. #2
13. Manager	Limited Liability Co. #3
14. Manager	Limited Liability Co. #4
15. Manager	Limited Liability Co. #5
16. Manager	Limited Liability Co. #6

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17. 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. 2011	Trust #2 (salary)	\$23,436.00
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. 2011	Classic Resorts; commission from condominium rental
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.				
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	Mortgage on condominium investment	N
2.	Wells Fargo Bank	Mortgage on condominium investment	M
3.	Wells Fargo Bank	Mortgage on condominium investment	N
4.	American Savings Bank	Co-signer on mortgage condominium investment	O
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	Rent	P1	U					
2.		Interest							
3. -Interfamily note (from Trust #8)									
4. -Shares of Cooperative Apartment (San Francisco, CA)									
5. -Bank of America (accounts)									
6. -First Republic Bank (account)									
7. -Sterling Bank & Trust (account)									
8. -Aegon NV stock									
9. -Hilton Hotels stock									
10. -California State bonds									
11. -Gateway Bank									
12. -R.E. Loans, LLC (account)									
13. -East-West Bank (accounts)									
14.									
15. Limited Liability Company #1	G	Rent	P1	U					
16.		Interest							
17. -Commercial Building #9 (San Francisco, CA)									

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. -Commercial Building #10 (San Francisco, CA)									
19. -Bank of America (accounts)									
20. -First Republic Bank (account)									
21. -Sterling Bank & Trust (account)									
22. -East-West Bank (account)									
23. -Commercial Condominium (San Francisco)									
24.									
25. Limited Partnership #3	A	Rent	N	U					
26.		Interest							
27. -Commercial Property #3 (San Francisco, CA)									
28. -Bank of America (accounts)									
29. -First Republic Bank (account)									
30. -Condominium #1 (Kohala Coast, HI)									
31. -El Dorado Hospitality, LLC									
32. -Commercial Property (Salt Lake City, UT)									
33. -Sterling Bank & Trust (account)									
34. -Gateway Bank (account)					Open	02/14/11	M		

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35.									
36. Limited Partnership #5	E	Rent and	N	U					
37.		Interest							
38. -Commercial Property #4 (Sacramento, CA)									
39. -Bank of America (accounts)									
40. -First Republic Bank (account)									
41. -East-West Bank (account)									
42. -Gateway Bank (account)									
43. -Limited Liability Company #2									
44. -Commercial Property #8 (San Rafael, CA)									
45. -Bank of America (account)									
46. -Wells Fargo Bank (account)									
47. -First Republic Bank (account)									
48. -Sterling Bank & Trust (account)									
49. -East-West Bank (account)									
50. -Gateway Bank (account)					Open	02/14/11	M		
51.									

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52. Limited Liability Co. #5 [REDACTED], [REDACTED]	F	Rent and	N	U					
53.		Interest							
54. -Commercial Property #1 (San Francisco, CA)									
55. -Bank of America (accounts)									
56. -First Republic Bank (account)									
57. -Sterling Bank & Trust (account)									
58.									
59. Limited Liability Co. #3 [REDACTED] [REDACTED]	E	Rent	O	U					
60.		Interest							
61. -Commercial Property #7 (Sacramento, CA)									
62. -Bank of America (accounts)									
63. -First Republic Bank (account)									
64. -Limited Liability Company #2 [REDACTED] [REDACTED]									
65. -East-West Bank (account)									
66. -Sterling Bank & Trust (account)									
67. -Gateway Bank (account)					Open	09/21/11	M		
68.									

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69. Realty Co. #1 (stock)	A	Dividend	N	U					
70.		Distribution							
71. -Bank of America (accounts)									
72. -Sterling Bank & Trust (account)									
73. -East-West Bank (account)									
74. -Note									
75.									
76. Bay Area Hotel Associates Limited Partnership	D	Dividend	J	W					
77.									
78. Life Insurance Policies - New York Life Ins. Co.	A	Interest	J	T					
79.									
80. Trust #4 (Trustee only)	A	Rent	O	U					
81.		Interest							
82. -Limited Partnership #3									
83.									
84. -Limited Partnership #5									
85.									

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86. -Limited Liability Company #1 [REDACTED]									
87. -Limited Partnership #1 [REDACTED]									
88. [REDACTED]									
89. -Limited Liability Co. #5 [REDACTED]									
90. -Bank of America (accounts)									
91. -Limited Liability Company #7 [REDACTED]									
92. -Commercial Property #8 (Sacramento, CA)									
93. -Bank of America (accounts)									
94. -Gateway Bank (account)									
95. -Sterling Bank & Trust (account)									
96. -Limited Liability Company #3 [REDACTED]									
97. [REDACTED]									
98. -Sterling Bank & Trust (account)									
99. -First Republic Bank (accounts)									
100. -El Dorado Hospitality, LLC									
101. -BST Hospitality, LLC									
102. -Bank of America (account)									

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103. -East-West Bank (account)									
104. -Commercial Condominium (San Francisco)									
105.									
106. Trust #5 (Co-Trustee only)	A	Rent	O	U					
107.		Interest							
108. -Limited Liability Company #3									
109.									
110. -Limited Liability Company #7									
111. -Limited Partnership #2									
112.									
113. -Commercial Property #2 (San Francisco, CA)									
114. -Bank of America (accounts)									
115. -First Republic Bank (account)									
116. -Sterling Bank & Trust (account)									
117. -R.E. Loans, LLC (account)									
118. -Morgan Stanley Note									
119. -East-West Bank (accounts)									

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120. -Gateway Bank (accounts)									
121. -Bank of America (account)									
122. -Sterling Bank & Trust (account)									
123. -First Republic Bank (account)									
124. -Gateway Bank (account)									
125. -East-West Bank (account)									
126.									
127. Merrill Lynch - IRA	A	Dividend	M	T					
128. -Account - Merrill Lynch									
129. -Calvert Social Investment Fund Balanced Portfolio									
130. -Calvert Global Alt									
131. -Davis NY Venture Fund B									
132. -Ariel Appreciation Fund									
133. -Columbia International Stock Fund									
134. -Franklin U.S. Government Series Class A									
135.									
136. Merrill Lynch - IRA	A	Dividend	K	T					

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	(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. -Account - Merrill Lynch									
138. -Calvert Social Investment Fund Balanced Portfolio									
139. -Calvert Global Alt									
140. -Davis NY Venture Fund B									
141. -Ariel Appreciation Fund									
142. -Columbia International Stock Fund									
143. -Franklin U.S. Government Series Class A									
144. Lincoln Financial Group (403(b))	A	Dividend	K	T					
145. -LVIP UBS Global Asset Allocation									
146. -LVIP Delaware Social Awareness									
147.									
148. Bank of America (accounts)	E	Interest	M	T					
149.									
150. Sterling Bank & Trust (accounts)	A	Interest	K	T					
151.									
152. First Republic Bank (accounts)	C	Interest	M	T					
153.									

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.

Date of Report

7/31/2012

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. Trust #3 (Revocable trust - all income and assets									
155. already reported herein)									
156.									
157. Trust #8 (Trustee only)					Closed	12/31/10	P1	A	Trust #8 terminated and
158. (mistakenly omitted from 2010 Report)									distributed to
159.									(1) Trust #16,
160.									(2) [REDACTED]
161.									(3) [REDACTED]
162.									(4) [REDACTED]
163.									Supplemental Trust,
164.									(5) [REDACTED]
165.									
166. Trust #16 (Trustee only)					Open	12/31/10	P1		
167. (mistakenly omitted from 2010 Report)									
168. -Limited Partnership #2 [REDACTED]									
169. [REDACTED]									
170. -Bank of America (account)					Open	01/10/11	K		

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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Date of Report

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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.									
172. Limited Liability Co. #4 [REDACTED]	D	Rent and	M	U					
173.		Interest							
174. -Limited Partnership #1 [REDACTED]									
175. [REDACTED]									
176. -Limited Partnership #2 [REDACTED]									
177. [REDACTED]									
178. -Limited Partnership #3 [REDACTED]									
179. [REDACTED]									
180. -Limited Partnership #5 [REDACTED]									
181. [REDACTED]									
182. -Bank of America (account)									
183.									
184. Condominium #2 (Kohala Coast, HI)	A	Rent	M	W					
185.									
186. Condominium #3 (Kohala Coast, HI)	A	Rent	K	W					
187.									

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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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. Condominium (Honolulu, HI)	A	Rent	M	W					
189.									
190. Limited Liability Co. #6	E	Rent	M	U					
191.		Interest							
192. -Condominium #4 (Kohala Coast, HI)									
193. -Provident Credit Union (account)									
194. -Ally Bank (account)									
195. -Bank of America (accounts)									
196. -First Republic Bank (accounts)									
197. -East-West Bank (account)									
198. -Condominium #5 (Maui, HI)									
199. -Commercial Condominium (San Francisco)									
200. -Sterling Bank (account)					Open	10/25/11	M		
201.									
202. Limited Liability Co. #7	A	Rent	P1	U					
203. (Manager only)		Interest							
204.									

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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Chen, Edward M.

Date of Report

7/31/2012

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)

205. BST Hospitality, LLC	A	Dividend	N	U					
206.									
207. Trust #17	A	Interest	K	U	Open	02/20/11	K		
208. -East-West Bank (account)									
209.									
210. Trust #18	A	Interest	K	U	Open	02/20/11	K		
211. -East-West Bank (account)									

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

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Chen, Edward M.

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