

FINANCIAL DISCLOSURE REPORT FINAL FILING

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) PATEL, MARILYN H.	2. Court or Organization Northern District California	3. Date of Report 11/26/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Retired Judge USDC	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 1/01/2012 to 9/30/2012
7. Chambers or Office Address United States District Court P.O. Box 36060 San Francisco, CA94102		
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.)

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.	
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.	The National Academy of Science	June 7 - 9, 2012	Washington, D.C.	Meeting	meals, lodging and transportation
2.	Fordham CLIP Board Meeting and Roundtable	March 1 - 3, 2012	New York, New York	Meeting	meals, lodging and transportation
3.	Federal Judicial Center - New York University School of Law	March 7 - 9, 2012	New York, New York	Meeting	meals, lodging and transportation
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.		
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. Allegheny Tech Inc.	B	Dividend			Sold	06/15/12	M		
2. Alpha Natl. Resources		None			Sold	06/15/12	K		
3. Bank of America	A	Dividend			Sold	06/15/12	M		
4. BE Aerospace Inc.		None			Sold	06/15/12	M	D	
5. Boeing	C	Dividend			Sold	06/15/12	N	G	
6. Borg Warner Inc.		None			Sold	06/15/12	M		
7. Carrizo Oil & Gas Inc.		None			Sold	06/15/12	M		
8. Cliffs Natural Res. Inc.	C	Dividend			Sold	06/15/12	M		
9. Dow Chemical Co.	B	Dividend			Sold	06/15/12	M		
10. Eastman Chemical	C	Dividend			Sold	06/15/12	M		
11. Eaton Corp.	B	Dividend			Sold	06/15/12	M		
12. Fifth Third Bancorp	A	Dividend			Sold	06/15/12	L		
13. Ford Motor Co.	A	Dividend			Sold	06/15/12	L		
14. Freeport McMoran	C	Dividend			Sold	06/15/12	M		
15. General Cable		None			Sold	06/15/12	L		
16. General Electric Co.	C	Dividend			Sold	06/15/12	M	E	
17. Hartford Fnl. Seervices Grp.	A	Dividend			Sold	06/15/12	L		

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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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. Honeywell Int'l.	C	Dividend			Sold	06/15/12	N	F	
19. Huntington Bancshs Inc.	B	Dividend			Sold	06/15/12	L	E	
20. JP Morgan Chase	B	Dividend			Sold	06/15/12	M		
21. Johnson Controls Inc.	B	Dividend			Sold	06/15/12	M		
22. Kronos Worldwide	B	Dividend			Sold	06/15/12	L		
23. Mechel OAO	A	Dividend			Sold	06/15/12	K		
24. Methanex	B	Dividend			Sold	06/15/12	M	F	
25. Schwab Cash Res.	E	Dividend	P1	T	Open	06/15/12	P1		See note in Section VIII
26. TE Connectivity Ltd.	B	Dividend			Sold	06/15/12	L		
27. Unimproved Lot, Oakland, CA (See note in Section VIII)		None	L	W					
28. U.S. Bancorp.	B	Dividend			Sold	06/15/12	M		

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

1. Section VII (Investments and Trusts) No. 25 - All proceeds from sale of stock transferred to the Schwab account referenced at No. 25.
2. Section VII (Investments and Trusts) No. 27 - We have owned this lot since 1970. The value ascribed to it by the code reflects what appears to be values for other lots in the area that have gone on the market recently. It has not been appraised and the current value is an approximation based on comparables.

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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/ **MARILYN H. PATEL**

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