

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) Breyer, Charles R.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 06/08/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	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. District Court, Northern District of California 450 Golden Gate Avenue, 17th 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.)

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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. 2015	City Arts & Lectures, Inc. - 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. Duke University Law School	October 7-8, 2015	Raleigh/Durham, NC	Speaking at Duke University Multi-District Litigation Conference	Transportation, hotel, meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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.	First Republic Bank	Notes payable to banks - secured	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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. Pacific Gas & Electric, common stock	B	Dividend	K	T					
2. First Niagara Group, common stock	A	Dividend	J	T					
3. U.S. Bancorp, common stock	B	Dividend	L	T					
4. U.C. Hastings Retirement Savings Plan	A	Dividend	J	T					
5. Protective Life Insurance whole life plan	A	Dividend	M	T					
6. First Republic Bank, cash accounts	A	Interest	K	T					
7. Chase Bank, cash accounts	A	Interest	J	T					
8. IRA #1 (CRB):									
9. - Oppenheimer Developing Mkts (ODMAX)	A	Dividend	L	T					
10. - Columbia Acorn (ACRNX)	E	Dividend			Sold	11/05/15	K		
11. - Third Avenue Int'l Fund (TAVIX)	B	Dividend			Sold	12/17/15	L		
12. - Northern Lights Fund (SANAX)	B	Dividend			Sold	05/19/15	M		
13. - Dodge & Cox Income Fund (DODIX)	D	Dividend	N	T					
14. - iShares Europe ETF (IEV)	C	Dividend	M	T					
15. - Doubleline Total Return Fund (DLTNX) Converted to (DBLTX)	D	Dividend			Sold	11/05/15	K		
16. - Diamond Hill Long Short (DIAMX)	A	Dividend	M	T	Buy	05/20/15	M		
17. - Nile Pan Africa Fund (NAFAX)					Sold	11/05/15	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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 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. - iShares MSCI EAFE Index (EFA)	D	Dividend	M	T					
19. - Fidelity Spartan U.S. Bond Index (FSITX)	B	Dividend	M	T	Buy	05/20/15	M		
20. - iShares IBOXX \$ Investor (LQD)	B	Dividend			Sold	05/20/15	M		
21. - iShares S&P North American Natural (IGE)	B	Dividend			Sold	11/05/15	K		
22. - iShares Tr Russell Midcap Index (TWR)	B	Dividend	M	T					
23. - iShares Tr Russell 1000 Growth Index (IWF)	D	Dividend	N	T					
24. - iShares Tr Russell 2000 (IWM)	B	Dividend	M	T					
25. - Templeton Global Bond (TPINX)	D	Dividend			Sold	11/05/15	K		
26. - Vanguard Specialized Portfol Div App ETF (VIG)	D	Dividend	N	T					
27. - Fidelity Cash Reserves (FDRXX)	A	Dividend	L	T	Distributed (part)	11/18/15	M		
28. JOINT COMMUNITY PROPERTY:									
29. - Fidelity Cal Municipal Money Mkt Fund	A	Interest	J	T					
30. - Fidelity Adv. Balanced (FABLX)	B	Dividend	K	T					
31. - Vanguard Int. Term Muni Bond (VWITX)	A	Dividend	J	T					
32. IRA #2 (SRG):									
33. - Fidelity Cash Reserves (FDRXX)	A	Interest	K	T	Distributed (part)	12/01/15	K		
34. - Columbia Acorn Fund (ACRNX)	A	Dividend			Sold	11/05/15	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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)

35. - Primecap Odyssey Growth (POGRX)	A	Dividend	K	T					
36. - Permanent Portfolio Fund (PRPFX)					Sold	11/05/15	J		
37. - Select American Shares (SLASX)	B	Dividend	J	T					
38. - Vanguard Specialized Portfol Div App ETF (VIG)	B	Dividend	K	T					
39. - iShares TR IBOXX INV CPBD (LQD)	A	Dividend			Sold	05/20/15	J		
40. - Fidelity Spartan U.S. Bond Index (FSITX)	A	Dividend	J	T	Buy	05/20/15	J		
41. - iShares TR MSCI EAFE Index (EFA)	A	Dividend	K	T					
42. - iShares TR Russell 2000 (IWM)	A	Dividend	J	T					
43. - iShares TR Europe (IEV)	A	Dividend	K	T					
44. - iShares TR Russell MidCap (IWR)	A	Dividend	J	T					
45. - iShares TR Russell 1000 GRW (IWF)	A	Dividend	L	T					
46. - iShares TR S&P NA NAT RES (IGE)	A	Dividend	J	T					
47. - Templeton Global Bond Fund - Class A (TPINX)	B	Dividend	K	T					
48. - Third Avenue International Value Fund (TAVIX)	A	Dividend			Sold	12/17/15	J		
49. - Fidelity Adv. Floating Rate High Inc (FFRAX); converted to (FFRIX)	A	Dividend			Sold	02/13/15	L		
50. - Northern Lights Fund (SANAX)	A	Dividend			Sold (part)	02/18/15	K		
51. - Northern Lights Fund (SANAX)	A	Dividend			Sold	05/19/15	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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)

52. -Doubleline Total Return (DLTNX) converted to (DBLTN)	B	Dividend	K	T					
53. - Diamond Hill Long Short (DIAMX)	A	Dividend	K	T	Buy	05/20/15	K		
54. - Oppenheimer Developing Mkts (ODMAX)	A	Dividend	J	T					
55. - Europacific Growth Fund (AEGFX)	A	Dividend	J	T					
56. - Dodge & Cox Income (DODIX)	B	Dividend	L	T	Buy	02/17/15	L		
57. - Delaware Diverse Inc. (DPDFX)	A	Dividend	K	T	Buy	02/19/15	K		

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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

PART VII - Notes

1. All dividends (both regular and capital gain) were reinvested for the mutual funds shown on Part VII, which results in a minor increase in the number of shares held.

2. IRA #1 and IRA #2 require an annual minimum distribution after age 70.5. Various holdings are sold (in whole or in part); the proceeds are added to Fidelity Cash Reserves (FDRXX), and the required distribution is made from there (see Items 27 and 33).

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Breyer, Charles R.

Date of Report

06/08/2016

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/ **Charles R. Breyer**

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