

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Illston, Susan Y.	2. Court or Organization U.S. District Court, N.D. Cal.	3. Date of Report 05/10/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge- Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. 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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Board of Governors	Association of Business Trial Lawyers, Northern California
2. Custodian	Children's Insurance Policies
3. Custodian	Children's Annuities
4.	
5.	

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

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bar Association— Section of Antitrust Law	4/10/18-4/15/18	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
2. Stanford Law School	4/25/18-4/26/18	Palo Alto, CA	Educational seminar or program	Food and lodging reimbursement
3. American Intellectual Property Law Association	5/15/18-5/22/18	Seattle, WA	Educational seminar or program	Travel, food, and lodging reimbursement
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.	Chase	Credit Cards	J
2.	Citibank	Credit Cards	J
3.	Schwab Bank	Credit Cards	J
4.	Wells Fargo	Credit Cards	J
5.	American Express	Credit Cards	J

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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. I. Schwab Inst'l Rollover IRA									
2. Aberdeen Emerging Markets Fund	A	Dividend	K	T	Buy (add'l)	09/28/18	J		
3. Advance Auto Parts	A	Dividend			Sold	03/27/18	J		
4. Akre Focus Fund		None	J	T					
5. Alphabet, Inc.		None	K	T	Sold (part)	07/13/18	J	D	
6. Capital One	A	Dividend	K	T	Sold (part)	03/09/18	J	D	
7. Comcast	A	Dividend	K	T	Buy (add'l)	03/16/18	J		
8.					Buy (add'l)	09/27/18	J		
9. Devon Energy		None	K	T	Buy (add'l)	02/27/18	J		
10.					Buy (add'l)	04/03/18	J		
11. Dodge & CDX Income Fund	B	Dividend	L	T					
12. Dodge & CDX International		None	K	T					
13. Facebook		None			Buy	11/19/18	J		
14.					Sold	11/26/18	J		
15. General Electric	A	Dividend	K	T	Sold (part)	03/16/18	J	A	
16.					Sold (part)	10/01/18	J	C	
17.					Sold (part)	12/14/18	J	D	

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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18. General Motors	A	Dividend	J	T	Sold (part)	01/19/18	J	C	
19.	A	Dividend			Sold (part)	03/27/18	J	C	
20.	A	Dividend			Buy (add'l)	10/01/18	J		
21. Goldman Sachs Group		None	K	T	Buy	03/09/18	K		
22.					Buy (add'l)	06/21/18	J		
23.					Buy (add'l)	10/11/18	J		
24.					Buy (add'l)	11/30/18	J		
25. GS Bond Fund Inst	A	Dividend	K	T					
26. Halliburton	A	Dividend	J	T					
27. Harbor Cap Appreciation Fund	A	Dividend	K	T					
28. Harbor International Fund	A	Dividend			Sold	12/19/18	K	A	
29. Ishares Biotech Fund	A	Dividend	K	T					
30. JPN Int'l Unconstrained Fund	A	Dividend	K	T					
31. Johnson & Johnson	B	Dividend	K	T					
32. Matthews Asia Pacific Fund	B	Dividend	K	T					
33. Matthews Pacific Tiger Fund	A	Dividend	K	T					
34. Metlife	B	Dividend	K	T					

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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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35. Microsoft	A	Dividend	K	T	Sold (part)	01/22/18	J	C	
36.					Sold (part)	02/27/18	K	D	
37.					Sold (part)	10/10/18	J	D	
38.					Sold (part)	12/14/18	J	D	
39. Mylan NV		None			Sold	01/29/18	J		
40. Oaktree Cap. Group	A	Dividend	K	T					
41. Oracle Corp.	A	Dividend	K	T	Sold (part)	03/13/18	J	D	
42.					Sold (part)	11/29/18	J	D	
43. Osterweis Strategic Inc. Fund	B	Dividend	K	T					
44. Range Resources		None			Sold	04/03/18	J		
45. Schlumberger LTD	A	Dividend	K	T					
46. Schwab Advisor Standard (Cash)	A	Dividend	K	T					
47. Schwab St. Treas.		None	J	T	Buy	05/31/18	J		
48.					Buy (add'l)	12/03/18	K		
49. Schwab Value Adv. Fund		None	K	T	Buy	05/16/18	K		
50.					Buy (add'l)	11/14/18	J		
51. TJX Companies	A	Dividend			Sold (part)	05/18/18	J		

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52.	A	Dividend			Sold	06/14/18	K		
53. Vanguard Energy Fund	A	Dividend	K	T	Buy	03/15/18	J		
54.					Buy (add'l)	09/28/18	J		
55. Volkswagen	A	Dividend	K	T	Buy	03/27/18	J		
56.					Buy (add'l)	12/04/18	J		
57. Walt Disney	A	Dividend	K	T	Sold (part)	03/13/18	J	D	
58. Weyerhaeuser CD	A	Dividend	J	T	Buy	02/09/18	J		
59. Wells Fargo & Co.	B	Dividend	K	T	Sold (part)	02/27/18	J	D	
60.					Sold (part)	03/09/18	J	D	
61. II. Schwab One Brokerage Inst'l									
62. Akre Focus Fund		None			Sold	02/26/18	J		
63. Allergan Inc.	A	Dividend	J	T	Sold (part)	04/30/18	J	D	
64. Alps Alerian MLP		None	K	T	Buy	12/31/18	K		
65. Apple Computer	A	Dividend	K	T					
66. Baron Emerg. Mrkt.	A	Dividend	K	T					
67. CVS Health Corp.	A	Dividend	K	T	Buy	05/01/18	J		
68.					Buy (add'l)	10/24/18	J		

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69.					Buy (add'l)	12/28/18	J		
70. First Eagle Gold FD		None			Sold	09/28/18	K		
71. General Motors	A	Dividend	J	T					
72. Goldman Sachs Group		None	J	T	Buy	12/03/18	J		
73. GS MLP Energy Infrastructure Fund	A	Dividend			Buy (add'l)	01/11/18	K		
74.					Sold	12/28/18	K		
75. Intel Corp	A	Dividend	J	T	Sold (part)	07/19/18	J	D	
76. Ishares Global Timber		None	K	T	Buy	12/17/18	J		
77. Kinder Morgan Inc.	A	Dividend	K	T	Buy (add'l)	11/02/18	J		
78. Metlife	A	Dividend	J	T	Buy	10/30/18	J		
79. Molson Coors Brewing	A	Dividend	J	T	Buy	10/30/18	J		
80. Pear Tree Polaris	A	Dividend	K	T					
81. Qualcomm	A	Dividend	J	T	Sold (part)	03/15/18	J	C	
82.					Sold (part)	09/19/18	J	D	
83. Range Resources		None			Sold (part)	02/23/18	J	C	
84.					Sold	03/16/18	J	B	
85. Schwab Muni Money Fund	A	Dividend	K	T					

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86. Schwab St. US Treasury		None	K	T	Buy	12/10/18	K		
87. Van Eck Vectors Gold Miners		None	K	T	Buy	10/01/18	K		
88. Volkswagen		None	J	T	Buy	12/03/18	J		
89. Weyerhaeuser Co	A	Dividend			Buy (add'l)	11/05/18	J		
90.					Sold	12/17/18	J		
91. Williams Co.	A	Dividend			Sold	11/05/18	J		
92. III. Schwab SEP IRA									
93. Apple Computer	A	Dividend	K	T	Sold (part)	10/10/18	J		
94. Baird Core Plus Bond Indust	B	Dividend	K	T					
95. Baron Emerging Markets		None	K	T					
96. Glaxosmithkline	A	Dividend			Buy	01/29/18	J		
97.					Sold	09/05/18	J		
98. Schwab Cash Reserves Money Market Account	A	Dividend	J	T					
99. Schwab Value Adv. Fd		None	J	T	Buy	11/30/18	K		
100.					Sold (part)	12/07/18	J		
101. T Rowe Price Inst.	B	Dividend	L	T					
102. IV. Schwab Living Trust									

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103. DOMIX	C	Dividend	K	T					
104. DSI	A	Dividend	L	T					
105. PARMX	B	Dividend	K	T					
106. PRBLX	C	Dividend	K	T					
107. PXWIX	B	Dividend	K	T					
108. SWZXX (Cash Reserves Money Market Fund)	A	Dividend	K	T					
109. VFTSX	B	Dividend	L	T					
110. Citibank Account	A	Interest	N	T					
111. Northwestern Mutual Life Insurance Assets									
112. Northwestern Mutual Life Annuity, fixed	A	Interest	M	T					
113. Northwestern Mutual Life Children's Insurance, whole life		None	N	T					
114. Northwestern Mutual Life Children's Annuities, fixed	D	Distribution	L	T					
115. Northwest Mutual Life Insurance Trust		None	P1	T					
116. Chase Bank Accounts	A	Interest	O	T					
117. Wells Fargo Bank Accounts	A	Interest	M	T					
118. Provident Federal Credit Union	A	Interest	O	T					
119.									

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

Part VII, line 115: Northwest Mutual Life Insurance Trust-- no reportable assets in the trust.

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Illston, Susan Y.

Date of Report

05/10/2019

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/ Susan Y. Illston

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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