

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) Kim, Sallie	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 10/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge full-time	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 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. Member, Board of Governors	Association of Business Trial Lawyers - Northern California
2. Trustee	 Family Trust
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 08/06/03	 Family Trust
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. 11/30/15	Stanford University, fee for teaching as Lecturer in Law for Trial Advocacy	\$16,000.00
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	University of California - San Francisco - 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.				
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.		
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. Bank of America IRA and CDs	A	Int./Div.	L	T					
2. Stanford Federal Credit Union checking and saving accounts	A	Int./Div.	J	T					
3. Golden One Credit Union checking account	A	Int./Div.	K	T					
4. Bank of America checking and saving accounts	A	Int./Div.	L	T					
5. Wells Fargo checking account	A	Int./Div.	K	T					
6. Northwestern Whole Life Policy	A	Int./Div.			Distributed	09/10/15	K		
7. Northwestern Whole Life Policy	A	Int./Div.			Distributed	09/10/15	J		
8. Vanguard Target 2035 Retirement Fund	A	Int./Div.	N	T					
9. Sprint company stock (formerly Clearwire)		None	J	T					
10. Fidelity California Muni Money Market	A	Int./Div.	J	T					
11. Scholarshare - Principal Plus Interest Portfolio 2954 #1	E	Int./Div.	K	T					
12. Scholarshare - Passive Diversified Equity Portfolio - 2945 #1	A	Int./Div.	J	T					
13. Scholarshare - Passive Diversified Equity Portfolio #2	A	Int./Div.	K	T					
14. University of California 457(b) Plan: Pathway 2030	B	Int./Div.	M	T					
15. University of California 457(b) Plan: Pathway 2040	B	Int./Div.	K	T					
16. University of California Defined Contribution Plan: Global Equity Fund	B	Int./Div.	K	T					
17. University of California Def. Contr. Plan: Intl Equity Index Fund	B	Int./Div.	K	T					

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 = \$250,001 - \$500,000	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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☐ 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. Acadian Emerging Markets Portfolio Institutional Class AEMGX	A	Int./Div.			Sold	08/31/15	J		
19. American Century Small Company Fund Investor Class ASQIX	A	Int./Div.			Sold	08/31/15	J		
20. American Funds International Growth and Income Fund Class F-1 IGIFX	A	Int./Div.			Sold	08/31/15	J		
21. AMG Managers Skyline Special Equities Fund SKSEX	A	Int./Div.			Sold	08/31/15	J		
22. Baird Core Plus Bond Fund Class Investor BCOSX	A	Int./Div.			Sold	08/31/15	J		
23. BlackRock Total Return Fund Investor A Shares MDHGX	A	Int./Div.			Sold	08/31/15	J		
24. ClearBridge Small Cap Growth Fund Class A SASMX	A	Int./Div.			Sold	08/31/15	J		
25. Eaton Vance Floating-Rate Advantage Fund Class EAFAX	A	Int./Div.			Sold	08/31/15	J		
26. FMI Large Cap Fund FMIHX	A	Int./Div.			Sold	08/31/15	J		
27. Glenmede Large Cap Core Portfolio GTLOX	A	Int./Div.			Sold	08/31/15	J		
28. Harbor International Fund Investor Class HIINX	A	Int./Div.			Sold	08/31/15	J		
29. John Hancock Funds Disciplined Value Fund Class A JVLAX	A	Int./Div.			Sold	08/31/15	J		
30. JPMorgan Value Advantage Fund Class A Shares JVAAX	A	Int./Div.			Sold	08/31/15	J		
31. Loomis Sayles Bond Fund Retail Class LSBRX	A	Int./Div.			Sold	08/31/15	J		
32. Metropolitan West Total Return Bond Fund Class M MWTRX	A	Int./Div.			Sold	08/31/15	J		
33. Northern Small Cap Value Fund NOSGX	A	Int./Div.			Sold	08/31/15	J		
34. Oakmark Fund Class I OAKMX	A	Int./Div.			Sold	08/31/15	J		

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		
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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)
35. Oakmark International Fund Class I OAKIX	A	Int./Div.			Sold	08/31/15	J		
36. Oakmark International Small Cap Fund Class I OAKEX	A	Int./Div.			Sold	08/31/15	J		
37. PIMCO Income Fund Class D PONDIX	A	Int./Div.			Sold	08/31/15	J		
38. RS Small Cap Growth Fund Class A RSEGX	A	Int./Div.			Sold	08/31/15	J		
39. Templeton Foreign Fund Class A TEMFX Templeton Foreign Fund Class A T	A	Int./Div.			Sold	08/31/15	J		
40. TIAA-CREF Social Choice Equity Fund Retail Class TCRX	A	Int./Div.			Sold	08/31/15	J		
41. Wells Fargo Advantage Growth Fund Administrator Class SGRKX	A	Int./Div.			Sold	08/31/15	J		
42. Western Asset Core Plus Bond Fund Class FI WACIX	A	Int./Div.			Sold	08/31/15	J		
43. Schwab Money Market Fund	A	Int./Div.			Sold	08/31/15	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Family Trust listed in Section II does not contain any reportable assets. Part VII, line 17 from the report initially submitted has been deleted and the Family Trust has been moved to Section II.

Part VII, line 7 from the report initially submitted initially listed "Northwestern variable life policy." That was also in my initial report. That terminology is incorrect. The Northwestern policies I owned were both Northwestern Whole Life Policies, which did not allow for me to select individual assets. Therefore, there are no individual assets to report for that policy.

Part VII, lines 18, 19 and 20 from the report initially submitted were mistakenly listed as three separate funds/investments. There are two University of California 457(b) plans: Pathway 2030 and Pathway 2040. Line 20 should be eliminated.

Part VII, Lines 21 and 22 from the report initially submitted have been corrected to show that the two plans are part of the University of California Defined Contribution Plan.

Part VII, Lines 9, 15 and 16 from the report initially submitted were deleted because they were acquired in 2016 and not in 2015 as mistakenly reported.

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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/ Sallie Kim**

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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