

AO 107
Rev. 1/2010

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*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) SEEBORG, RICHARD G.	2. Court or Organization U.S. District Court N.D. Cal.	3. Date of Report 04/30/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (See Part VIII)	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address United States Courthouse 450 Golden Gate Avenue San Francisco, CA 94102	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.</i>		

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.		
2.		
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.		
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. 2009	Matthew Bender & Co., Inc. (Book Royalties)	\$1,443.64
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.	Not Applicable
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. Wells Fargo Bank	17% of mortgage obligation on rental property, Kamuela, HI	L
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-F)	(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-II)	(5) Identity of buyer/seller (if private transaction)
1. Morgan Stanley Asset Fund (Money Market)	D	Interest	P1	T					
2. Merck & Co., Inc.	B	Dividend	K	T					
3. Aegon NV ADR	A	Dividend	J	T					
4. Applied Materials	A	Dividend	J	T					
5. Schlumberger Ltd.	A	Dividend	K	T					
6. Scudder Greater-Europe Growth Fund	A	Dividend	J	T					
7. Scudder Latin America Fund	B	Dividend	L	T					
8. Templeton World Fund - Class I	A	Dividend	K	T					
9. Templeton Developing Market Trust Class A	A	Dividend	J	T					
10. Vanguard 500 Index Fund	B	Dividend	L	T					
11. Vanguard Growth Index Fund	A	Dividend	K	T					
12. Vanguard International Growth Fund	A	Dividend	K	T					
13. Vanguard U.S. Growth Fund	A	Dividend	K	T					
14. Wells Fargo Checking Account	A	Interest	K	T					
15. Navin.com		None	J	U					
16. Emerson Electric	A	Dividend	J	T					
17. John Hancock Regional Bank Fund	B	Dividend	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 = \$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	
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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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)
18. JP Morgan Chase (formerly Bank One Corp)	A	Dividend	J	T					
19. Computer Sciences Corp.	A	Dividend	J	T					
20. Intel Corp	A	Dividend	K	T					
21. Van Kampen Comstock Fund	A	Dividend	L	T					
22. Special Value Fund	A	Dividend	K	T					
23. John Hancock Small Cap Value Fund	A	Dividend	J	T					
24. American Arncap FD	A	Dividend	L	T					
25. American New Perspective Fund	A	Dividend	L	T					
26. American Growth Fund of America	A	Dividend	K	T					
27. Van Kampen Global Franchise Fund	C	Dividend	L	T					
28. American W Mutual A Fund	B	Dividend	K	T					
29. Allianz Int'l Fund	A	Dividend	J	T					
30. MFS New Endeavor A Fund (See Part VIII)	A	Dividend	K	T					
31. American Europacific Growth	A	Dividend	K	T					
32. Duke Energy	A	Dividend	J	T					
33. First Energy	A	Dividend	J	T					
34. Jet Blue Airways	A	Dividend	J	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 \$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 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. Peet's Coffee	A	Dividend	J	T					
36. Morgan Stanley Note	A	Interest	K	T					
37. Scheff-Vista Fire Bond	A	Interest	K	T					
38. Contra Costa County Water Bond	A	Interest			Redeemed	10/01/09	L		
39. Van Kampen Senior Loan	A	Dividend	J	T					
40. Allianz Nacm Intern.	A	Dividend	K	T					
41. Chevron Corp	A	Dividend	J	T					
42. Clorox Corp	A	Dividend	K	T					
43. Compass Fund	A	Dividend	L	T					
44. General Electric Corp	A	Dividend	J	T					
45. Ilhighwood	A	Interest	J	T					
46. Focus Growth Fund	A	Dividend	J	T					
47. Dividend Growth Securities Fund	A	Dividend	J	T					
48. Global Advantage Fund A	A	Dividend	K	T					
49. Virtus (formerly Phoenix Small Cap Value Fund A)	A	Dividend	J	T					
50. Strategist Fund A	A	Dividend	K	T					
51. Van Kampen Global Value Equity Fund (Sec Part VIII)	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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	(1) Amount Code 1 (A-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
52. Van Kampen Global Franchise Fund	A	Dividend	K	T					
53. One-sixth interest Condominium Kamuela, HI	D	Rent	L	S					
54. L.A. Water Dept Bond	B	Interest	K	T					
55. Pleasant Valley School Bond	A	Interest			Redeemed	08/03/09	J		
56. Albany School Bond	A	Interest			Redeemed	08/10/09	J		
57. Pomona School Bond	A	Interest	L	T					
58. Montebello School Bond	A	Interest	K	T					
59. Irvine School Bond	A	Interest	J	T					
60. San Francisco City Finance Bond	A	Interest	J	T					
61. Manhattan Beach Water Bond	A	Interest	J	T					
62. San Diego Public Works Bond	A	Interest			Redeemed	05/15/09	J		
63. Highland Credit Strategies Bond Fund (See Part VIII)	A	Interest	J	T					
64. American Capital World Growth Fund	B	Interest	K	T					
65. Van Kampen Dynamic Opp Fund	B	Dividend	K	T					
66. BST Hospitality LLC	A	Distribution	M	U					
67. Spectra Energy	A	Dividend	J	T					
68. Highland Credit Strategies Fund	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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69. Contra Costra Public Finance Bond (2 parts)	A	Interest	J	T	Redeemed (part)	06/01/09	J		
70. Union Bank of Kansas City (CD)	A	Interest			Redeemed	01/26/09	K		
71. Cal Poly University Bond	A	Interest			Redeemed	07/01/09	L		
72. Cal EDL Fac. Bond	A	Interest	L	T					
73. Compass Bank (CD)	A	Interest			Redeemed	01/26/09	L		
74. Goldman Sachs (CD)	A	Interest			Redeemed	06/30/09	M		

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

Personal Information: United States District Judge (01/04/2010 to present); Magistrate Judge Full Time (to 01/04/2010)

Part VI, Line 30: merged into MFS Core Equity A on 07/27/09.

Part VI, Line 51: merged into Line 52, Van Kampen Global Franchise Fund, on 10/06/09.

Part VI, Line 53: Condominium was purchased on 02/10/2006. My share of the purchase price was \$75,000.

Part VI, Line 63: merged into Line 68, Highland Credit Strategies Fund.

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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_____

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544