

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 04/27/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Courthouse 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.)

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. 2014	Matthew Bender & Co., Inc. (Book Royalties)	\$2,064.88
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.				
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Morgan Stanley Asset Fund (Money Market)	A	Interest	O	T					
2. Schlumberger Ltd.	A	Dividend	K	T					
3. DWS World Dividend Fund	A	Dividend	J	T					
4. DWS Latin America Equity Fund	A	Dividend	K	T					
5. Templeton World Fund - Class I	A	Dividend	K	T					
6. Templeton Developing Market Trust Class A	A	Dividend	K	T					
7. Vanguard 500 Index Fund	A	Dividend	M	T					
8. Vanguard Growth Index Fund	A	Dividend	K	T					
9. Vanguard International Growth Fund	A	Dividend	K	T					
10. Vanguard U.S. Growth Fund	A	Dividend	K	T					
11. Wells Fargo Checking Account	A	Interest	K	T					
12. Emerson Electric	A	Dividend	J	T					
13. John Hancock Regional Bank Fund	A	Dividend			Sold	04/17/14	L	A	
14. JP Morgan Chase (formerly Bank One Corp)	A	Dividend	K	T					
15. Computer Sciences Corp.	A	Dividend	J	T					
16. Intel Corp	B	Dividend	L	T					
17. Invesco Comstock Fund	A	Dividend	K	T					

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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☐ NONE (No reportable income, assets, or transactions.)

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18. Invesco Small Cap Value Fund C (formerly Special Value Fund)	A	Dividend	L	T					
19. John Hancock Small Cap Value Fund C	A	Dividend			Sold	04/17/14	K	D	
20. Invesco Global Core Equity Fund	B	Dividend			Sold	04/17/14	M	D	
21. MFS New Core Equity A	A	Dividend			Sold	04/17/14	L	D	
22. Invesco Senior Loan (formerly Van Kampen Senior Loan)	A	Dividend	K	T					
23. Allianz Nacm Intern.	A	Dividend	K	T					
24. Chevron Corp	A	Dividend	K	T					
25. Clorox Corp	A	Dividend	K	T					
26. General Electric Corp	A	Dividend	K	T					
27. Morgan Stanley Focus Growth Fund	A	Dividend			Sold	04/17/14	J	A	
28. Diversified Dividend A Fund	A	Dividend	K	T					
29. Invesco Global Growth Fund A	A	Dividend	K	T					
30. Virtus	A	Dividend	J	T					
31. Mortgage Stanley Strategist Fund A	A	Dividend	K	T					
32. Invesco Global Core Equity Fund A	A	Dividend	K	T					
33. L.A. Water Dept Bond	B	Interest	L	T					
34. Invesco Van Kampen Dynamic Credit Opp. Fund	B	Dividend	J	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 \$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. BST Hospitality LLC	C	Distribution	M	U					
36. Nexpoint Credit Strategies Fund	A	Dividend	J	T					
37. Contra Costra Public Finance Bond (2 parts)	A	Interest			Redeemed	06/02/14	J	A	
38. Acalanes School Bond	D	Interest	M	T					
39. California State Public Works Bond	C	Interest			Redeemed	11/03/14	M	A	
40. Metropolitan Water District - So Cal Bond	B	Interest	L	T					
41. East Bay Municipal Utility District Bond	C	Interest	M	T					
42. Pasadena Electric Bond	B	Interest	L	T					
43. Piedmont Unified School District Bond	B	Interest	L	T					
44. Invesco Asia Pacific Growth Fund C	A	Dividend	L	T	Buy	04/17/14	L		
45. Invesco European Growth Fund C	A	Dividend	L	T	Buy	04/17/14	L		
46. John Hancock International Growth Fund A	B	Dividend	M	T	Buy	04/17/14	M		
47. MFS International Value Fund A	A	Dividend	L	T	Buy	04/17/14	L		
48. MSIFT Global Strategist Fund L	B	Dividend	M	T	Buy	04/21/14	L		
49. SPDR S&P Dividend	D	Dividend	N	T	Buy	03/06/14	N		
50. Vanguard TTL STK MKT ETF	C	Dividend	M	T	Buy	03/06/14	M		

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

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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/ **RICHARD G. SEEBORG**

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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Washington, D.C. 20544