

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) Koh, Lucy H.	2. Court or Organization District Court -- Northern California	3. Date of Report 05/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge --Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 280 South First Street San Jose, California 95113		
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.</i>		

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.		
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. 2019	State of California -- salary
2. 2019	Stanford University -- salary
3. 2019	New York University -- salary
4. 2019	Thomson/Reuters -- book royalty

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. American Bar Association	03/27/2019-03/29/2019	Vancouver, Canada	Serve as Cyberspace Committee Program Co-Chair at Spring Meeting	Airfare, ground transportation, meals, hotel
2. Korean American Bar Association of Southern California	04/10/2019	Los Angeles, CA	Serve as Keynote Speaker at Annual Board Installation and Awards Dinner	Airfare, meal
3. American Constitution Society	06/06/2019-06/08-2019	Washington, D.C.	Attend National Convention	Airfare, parking, meals, hotel
4. Opperman Foundation	07/16/2019-07/17/2019	Los Angeles, CA	Serve on Devitt Committee to select Devitt Award recipient	Airfare, ground transportation, meals, hotel

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5.	Opperman Foundation	10/16/2019-10/18/2019	Washington, D.C.	Attend Devitt Award Ceremony at U.S. Supreme Court	Airfare, ground transportation, meals, hotel
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Wells Fargo Accounts	A	Interest	L	T					
2. State of California Savings Plus Program		None	J	T					
3. American Funds Washington Mutual R6		None	M	T					
4. Nationwide Geneva Small Cap Gr R6		None	L	T					
5. Dodge & Cox Balanced		None	L	T					
6. Lord Abbett Total Return R5		None	L	T					
7. Vanguard Instl Target Retirement 2035 Ins		None	L	T					
8. Vanguard Inst Target Retirement 2035	E	Int./Div.	O	T					
9. AMG Managers Fairpointe Mid Cap N	C	Dividend	L	T					
10. Invesco CollegeBound Age Based Portfolio		None	K	T					
11. TIAA CREF ScholarShare Active Age- Based Portfolio		None	K	T					
12.									
13.									
14.									
15.									
16.									
17.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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

Part VII. Investments and Trusts

As stated in my 2018 Financial Disclosure, my husband's retirement account changed names in 2018 from Vanguard Target Retirement 2035 to Vanguard Inst Target Retirement 2035. My husband does not know why the fund changed names. He did nothing to cause any change in the fund name. In my 2018 Financial Disclosure I listed each retirement account because each existed for some portion of the reporting period. In 2019, only the Vanguard Inst Target Retirement 2035 existed, so I have one less Vanguard retirement account in my 2019 Financial Disclosure.

I understand that all income is reportable, whether taxable, tax deferred, or tax exempt. I further understand that dividends that are reinvested must be listed as income. However, Part VII, lines 2-7 and 10-11 had no dividends, had no reinvestment of dividends, had no interest, and thus had no reportable income in calendar year 2019.

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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/ **Lucy H. Koh**

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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