

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) BERZON, MARSHA S.	2. Court or Organization U.S. CA NINTH CIRCUIT	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT 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 95 SEVENTH STREET P.O. BOX 1939393 SAN FRANCISCO, CA 94119-3939		
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. _____	_____
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. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

BERZON, MARSHA S.

Date of Report

08/12/2020

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. 2019	UC HASTINGS COLLEGE OF THE LAW - TEACHING	\$3,854.20
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	SELF-EMPLOYED ATTORNEY
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.	UNIVERSITY OF CALIFORNIA, LOS ANGELES	4/18/2019-4/19/2019	LOS ANGELES, CA	EDUCATIONAL ACTIVITIES	TRAVEL, LODGING, MEALS
2.	CORNELL UNIVERSITY	9/25/2019-9/29/2019	NEW YORK, NY	EDUCATIONAL ACTIVITIES	TRAVEL, LODGING, MEALS
3.					
4.					
5.					

Name of Person Reporting	Date of Report
BERZON, MARSHA S.	08/12/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

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08/12/2020

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 ACCOUNTS	A	Interest	M	T					
2. STERLING BANK & TRUST ACCOUNTS	D	Interest	N	T					
3. UNION BANK ACCOUNTS	A	Interest	K	T					
4. BANK OF THE ORIENT ACCOUNT	D	Interest	N	T	Open	01/29/19	N		
5. CORNING INC - COMMON STOCK	C	Dividend	M	T					
6. PEPSICO INC - COMMON STOCK	B	Dividend	K	T					
7. BERKSHIRE HATHWAY - COMMON STOCK		None	K	T					
8. FISERV INC - COMMON STOCK		None	L	T					
9. UNITED TECHNOLOGIES - COMMON STOCK	A	Dividend	K	T					
10. MONDELEZ INTL	A	Dividend			Sold	03/28/19	K	D	
11. QUALCOMM INC	A	Dividend	K	T					
12. ALLERGAN PLC	A	Dividend	K	T					
13. COGNIZANT TECH SOLU	A	Dividend	K	T					
14. MEDTRONIC PLC	A	Dividend	K	T					
15. NOVARTIS AG	A	Dividend	K	T					
16. EXPEDIA INC	A	Dividend	K	T					
17. AT&T INC	A	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

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18. BECTON DICKINSON&CO	A	Dividend	K	T					
19. O I GLASS, INC. (FORMERLY OWENS ILLINOIS INC)*4	A	Dividend	J	T					
20. STERICYCLE INC		None			Sold	03/28/19	J		
21. COLFAX CORPORATION		None	K	T					
22. BOOKING HOLDINGS INC		None	K	T					
23. BLACKROCK INC	A	Dividend	K	T	Buy	03/28/19	K		
24. EATON CORP PLC		None	K	T	Buy	03/28/19	K		
25. EMERSON ELECTRIC CO	A	Dividend	K	T	Buy	03/28/19	K		
26. ANHEUSER BUSCH INBEV S F		None	K	T	Buy	12/16/19	K		
27. EBAY INC		None	K	T	Buy	12/16/19	K		
28. ALCON INC*1		None	J	T	Spinoff (from line 15)	04/08/19	J		
29. RETIREMENT ACCOUNT (H)*3									
30. -OPPENHEIMER INTERNATIONAL BOND FUND (I)	C	Dividend	L	T	Buy (add'l)	03/13/19	J		
31.					Sold (part)	08/30/19	J		
32.					Buy (add'l)	11/12/19	J		
33. -DFA U.S. SMALL CAP VALUE PORT	B	Dividend	L	T	Buy (add'l)	03/13/19	J		
34.					Buy (add'l)	05/10/19	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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FINANCIAL DISCLOSURE REPORT

Page 6 of 13

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	(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)
35.					Sold (part)	08/30/19	J		
36.					Buy (add'l)	11/12/19	J		
37. -VANGUARD EQUITY INCOME FUND (ADM)	B	Dividend	K	T	Buy (add'l)	03/13/19	J		
38.					Buy (add'l)	05/10/19	J		
39.					Sold (part)	08/30/19	J	A	
40.					Sold (part)	11/12/19	J	A	
41. -VANGUARD SMALL-CAP GROWTH INDEX FUND (ADM)	A	Dividend	K	T	Buy (add'l)	03/13/19	J		
42.					Sold (part)	05/10/19	J	A	
43.					Sold (part)	08/30/19	J	A	
44.					Buy (add'l)	11/12/19	J		
45. -VANGUARD REIT INDEX FUND (ADM)	B	Dividend	K	T	Buy (add'l)	03/13/19	J		
46.					Sold (part)	05/10/19	J	A	
47.					Sold (part)	08/30/19	J	A	
48.					Sold (part)	11/12/19	J	A	
49. -VANGUARD 500 INDEX FUND (ADM)	C	Dividend	M	T	Buy (add'l)	03/13/19	J		
50.					Sold (part)	05/10/19	J	A	
51.					Sold (part)	08/30/19	J	B	

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FINANCIAL DISCLOSURE REPORT

Page 7 of 13

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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52.					Sold (part)	11/12/19	J	B	
53. -VANGUARD TOTAL INTL STOCK INDEX FUND (ADM)	D	Dividend	M	T	Buy (add'l)	03/13/19	J		
54.					Sold (part)	05/10/19	J	A	
55.					Sold (part)	08/30/19	J	A	
56.					Sold (part)	11/12/19	J	A	
57. -VANGUARD INTERMED.-TERM BOND INDEX FUND (ADM)	D	Dividend	N	T	Buy (add'l)	03/13/19	J		
58.					Sold (part)	05/10/19	J		
59.					Sold (part)	08/30/19	J	A	
60.					Sold (part)	11/12/19	J	A	
61. -VANGUARD SHORT-TERM BOND INDEX FUND (ADM)	D	Dividend	N	T	Buy (add'l)	03/13/19	J		
62.					Buy (add'l)	05/10/19	J		
63.					Sold (part)	08/30/19	J	A	
64.					Buy (add'l)	11/12/19	J		
65. -VANGUARD INFLATION-PROTECTED SECS (ADM)	C	Dividend	M	T	Buy (add'l)	03/13/19	J		
66.					Buy (add'l)	05/10/19	J		
67.					Sold (part)	08/30/19	J	A	
68.					Buy (add'l)	11/12/19	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 13

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69. -VANGUARD MID-CAP VALUE INDEX ADMIRAL	B	Dividend	L	T	Buy (add'l)	03/13/19	J		
70.					Buy (add'l)	05/10/19	J		
71.					Sold (part)	08/30/19	J		
72.					Sold (part)	11/12/19	J	A	
73. SPOUSE'S CAPITAL ACCOUNT IN LAW FIRM PARTNERSHIP - BANK OF AMERICA*2	C	Interest	J	U					
74. CHARLES SCHWAB BANK N A DEPOSIT ACCOUNT	A	Interest	K	T					
75. DFA CALIFORNIA SHORT-TERM MUNI BOND	C	Dividend	N	T					
76. DFA EMERGING MARKETS CORE EQUITY	D	Dividend	N	T	Buy (add'l)	08/28/19	K		
77. DFA INT'L SMALL CAP VALUE	C	Dividend	L	T					
78. DFA INT'L SMALL COMPANY	C	Dividend	L	T					
79. DFA REAL ESTATE SECURITIES	A	Dividend	J	T					
80. DFA U.S. LARGE CAP VALUE	E	Dividend	N	T					
81. DFA U.S. MICRO CAP	B	Dividend	L	T					
82. DFA U.S. SMALL CAP	C	Dividend	L	T					
83. DFA U.S. SMALL CAP VALUE	D	Dividend	M	T					
84. PIMCO FOREIGN BOND HEDGED	E	Dividend	N	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 13

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85. PIMCO REAL RETURN INSTL	C	Dividend	M	T					
86. SPDR S&P 500 INDEX ETF	E	Dividend	O	T					
87. VANGUARD CA INTERM TERM TAX- EX ADMIRAL	D	Dividend	N	T	Buy (add'l)	10/01/19	K		
88. VANGUARD EQUITY INCOME FUND ADMIRAL	D	Dividend	M	T					
89. VANGUARD FIXED INCOME INFLATION PROTECTED	D	Dividend	O	T					
90. VANGUARD FTSE DEVELOPED MARKETS ETF	D	Dividend	N	T					
91. VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	M	T					
92. VANGUARD INTERM-TERM TAX- EXEMPT ADMIRAL	D	Dividend	N	T	Buy (add'l)	03/28/19	K		
93.					Buy (add'l)	12/30/19	K		
94. VANGUARD LTD TERM TAX EXEMPT ADMIRAL	E	Dividend	P1	T	Buy (add'l)	06/24/19	K		
95. VANGUARD SHORT TERM TAX EXEMPT ADMIRAL	D	Dividend	N	T					
96. DFA TAX-MANAGED INT'L VALUE	D	Dividend	N	T					
97. DFA TAX-MANAGED U.S. MARKETWIDE VALUE	D	Dividend	M	T					
98. DFA TAX-MANAGED U.S. TARGETED VALUE	C	Dividend	M	T					
99. ISHARES S&P 500 INDEX ETF	B	Dividend	L	T					
100. INVESCO QQQ TR ETF	A	Dividend	L	T					
101. ANAHEIM CALIF ELEM SCH DIST	B	Interest	K	T					

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102. ANTIOCH CALIF PUB FING AUTH LE	B	Interest	K	T					
103. CALIFORNIA MUN FIN AUTH REV	B	Interest	K	T					
104. CALIFORNIA ST DEPT WTR RES CEN	B	Interest	K	T					
105. CALIFORNIA ST DEPT WTR RES PWR	B	Interest	K	T					
106. CAMPBELL CALIF UN HIGH SCH DIS	B	Interest	K	T					
107. CARLSBAD CALIF UNI SCH DIST	B	Interest	K	T					
108. CUCAMONGA VY CALIF WTR DIST FI	B	Interest	K	T					
109. FOOTHILL-DE ANZ CALIF CMNTY C	B	Interest	K	T					
110. LONG BEACH CALIF HBR REV	B	Interest			Sold	09/16/19	K	A	
111. LOS ANGELES CNTY CALIF MET TRA	B	Interest	K	T					
112. MARIN CALIF CMNTY COLLEGE DIST	B	Interest	K	T					
113. MIDPENINSULA REGL OPEN SPACE D	B	Interest	K	T					
114. MORELAND CALIF SCH DIST	B	Interest	K	T					
115. OLIVEHAIN MUN WTR DIST CALIF	B	Interest	K	T					
116. ORANGE CNTY CALIF SANTN WASTEW	B	Interest			Matured	03/14/19	K		
117. PERALTA CALIF CMNTY COLLEGE DI	B	Interest	K	T					
118. SAN BERNARDINO CNTY CALIF TRAN	B	Interest	K	T					

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

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)
119. SAN FRANCISCO CALIF BAY AREA R	B	Interest	K	T					
120. SAN FRANCISCO CNTY CALIF TRANS	B	Interest	K	T					
121. SAN LUIS CALIF COASTAL UNI SCH	B	Interest	K	T					
122. SAN MATEO CNTY CALIF TRAN DIST	B	Interest	K	T					
123. UNITED STATES TREAS NTS	A	Interest	K	T	Buy	05/30/19	K		
124. UNIVERSITY CALIF REVS FOR PREV	B	Interest	K	T					
125. CALIFORNIA ST	B	Interest	L	T					
126. CALIFORNIA ST UNIV REV	B	Interest	K	T					
127. LOS ANGELES CALIF WASTEWTR SYS	B	Interest			Matured	06/01/19	K		
128. UNIVERSITY WIS HOSPS & CLINICS	B	Interest	K	T					
129. SCHWAB ONE CASH	A	Interest	J	T					
130. CHABOT-LAS POSITAS CALIF CMNTY	A	Interest	L	T	Buy	03/13/19	K		
131. LOS ANGELES CALIF WASTEWTR SYS REV	B	Interest	K	T	Buy	05/30/19	K		
132. PETALUMA CALIF WASTEWATER REV	A	Interest	L	T	Buy	09/16/19	L		
133. IRA (H) [REDACTED]									
134. -DFA REAL ESTATE SECURITIES	C	Dividend	L	T					
135. -VANGUARD TOTAL BOND MKT INDEX ADMIRAL	C	Dividend	L	T	Sold (part)	08/28/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting

BERZON, MARSHA S.

Date of Report

08/12/2020

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

*1 ALCON INC (ITEM #28) WAS RECEIVED 04/09/2019 IN A SPINOFF FROM NOVARTIS AG (ITEM #15).

*2 THE EARNINGS REPORTED IN PART VII REPRESENT SPOUSE'S DISTRIBUTIVE SHARE OF PARTNERSHIP INTEREST INCOME.

*3 SALES 08/28/2019 AND 08/30/2019 WERE MADE TO MEET REQUIRED MINIMUM MINIMUM DISTRIBUTION (RMD).

*4 ON DECEMBER 27, 2019, PURSUANT TO A CORPORATE MODERNIZATION, STOCKHOLDERS OF OWENS-ILLINOIS INC. BECAME STOCKHOLDERS OF O-I GLASS, INC.

*5 SCHWAB CA MUNI MONEY FUND (ASSET #172 ON 2018 REPORT) WAS NOT HELD DURING 2019. CORRECTED REPORTING FROM 2018 REPORT IS AS FOLLOWS: GROSS VALUE AT END OF PERIOD COLUMN C-1 VALUE CODE "BLANK", COLUMN C-2 VALUE METHOD "BLANK"; TRANSACTIONS DURING REPORTING PERIOD COLUMN D-1 TYPE "SOLD" COLUMN D-2 DATE "12/03/18" COLUMN D-3 VALUE CODE "J" COLUMN D-4 GAIN CODE "BLANK".

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

BERZON, MARSHA S.

Date of Report

08/12/2020

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/ **MARSHA S. BERZON**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544