

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) Hixson, Thomas S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 07/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	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 San Francisco 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. Board Member	Association of Business Trial Lawyers
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. 01/01/2015	Morgan, Lewis & Bockius Cash Balance Pension Plan
2.	
3.	

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Name of Person Reporting	Date of Report
Hixson, Thomas S.	07/09/2020

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.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE AND TYPE
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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Hixson, Thomas S.	07/09/2020

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.		

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. Individual Assets (H)									
2. Bank of America (cash)	A	Interest	K	T					
3. Capital One (cash)	B	Interest	M	T					
4. Goldman Sachs (cash)	C	Interest	M	T	Open	02/05/19	M		
5. HSBS Bank (cash)	C	Interest	M	T	Open	04/24/19	M		
6. IRA #1 (H)									
7. Charles Schwab Bank Sweep (cash)	A	Dividend	K	T					
8. Schwab Intl Equity ETF (SCHF)	C	Dividend	L	T	Buy (add'l)	01/02/19	J		
9. Schwab US Large Cap ETF (SCHX)	D	Dividend	M	T					
10. Schwab US Small Cap ETF (SCHA)	B	Dividend	M	T					
11. BMO Interm Tax Free CL Y (MITFX)	B	Dividend	L	T					
12. Northern CA Inter Tax Exempt Fd (NCITX)	B	Dividend	L	T					
13. Lazard Intl Strategic Equity Open Shs (LISOX)	B	Dividend	L	T					
14. Schwab Total Stock Mkt Index (SWTSX)	D	Dividend	N	T					
15. IRA #2 (H)									
16. Fidelity Govt Money Market (SPAXX)	B	Dividend	K	T					
17. Fidelity Intl Enhanced Ix Fd (FIENX)	C	Dividend	M	T	Buy (add'l)	01/29/19	J		

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

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Hixson, Thomas S., 07/09/2020

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.)

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Rows include assets like Fidelity Total Bond (FTBFX) and iShares Core S&P Total US Stock Mkt ETF (ITOT).

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
2 Value Codes: F =\$50,001 - \$100,000, G =\$100,001 - \$1,000,000, H1 =\$1,000,001 - \$5,000,000, H2 =More than \$5,000,000
3 Value Method Codes: Q =Appraisal, R =Cost (Real Estate Only), S =Assessment, T =Cash Market

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)
35.					Buy (add'l)	01/30/19	J		
36.					Buy (add'l)	02/13/19	J		
37.					Buy (add'l)	04/10/19	J		
38.					Buy (add'l)	05/08/19	J		
39.					Buy (add'l)	06/26/19	J		
40. iShares Core S&P Mid-Cap ETF (IJH)	B	Dividend	M	T	Buy (add'l)	01/02/19	J		
41.					Buy (add'l)	01/30/19	J		
42.					Buy (add'l)	02/13/19	J		
43.					Buy (add'l)	03/22/19	J		
44.					Buy (add'l)	04/10/19	J		
45.					Buy (add'l)	05/08/19	J		
46.					Buy (add'l)	06/26/19	J		
47. iShares Core S&P Small-Cap ETF (IJR)	B	Dividend	M	T	Buy (add'l)	01/02/19	J		
48.					Buy (add'l)	01/30/19	J		
49.					Buy (add'l)	02/13/19	J		
50.					Buy (add'l)	03/22/19	J		
51.					Buy (add'l)	04/10/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	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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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)
52.					Buy (add'l)	05/08/19	J		
53.					Buy (add'l)	06/26/19	J		
54. iShares Trust Core MSCI Total Intl Stk ETF (IXUS)	C	Dividend	M	T	Buy (add'l)	01/02/19	J		
55.					Buy (add'l)	01/30/19	J		
56.					Buy (add'l)	02/13/19	J		
57.					Buy (add'l)	03/22/19	J		
58.					Buy (add'l)	04/10/19	J		
59.					Buy (add'l)	05/08/19	J		
60.					Buy (add'l)	06/26/19	J		
61. RETIREMENT ACCT #1 (H)									
62. ML&B Cash Balance Plan (cash)		None	M	T					
63. Vanguard Tot Intl Stock Ix Inst (VTSNX)	D	Dividend	N	T					
64. Vanguard Total Bond Mkt Index Inst (VBTIX)	C	Dividend	M	T					
65. Vanguard Extended Mkt Index Inst (VIEIX)	B	Dividend	N	T					
66. Vanguard Inst Index Fund Inst Plus (VHIX)	D	Dividend	O	T					
67. RETIREMENT ACCT #2 (H)									
68. Vanguard Tot Intl Stock Ix Inst (VTSNX)	A	Dividend	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

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Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/09/2020

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)	(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)
69. Vanguard Total Bond Mkt Index Inst (VBTIX)	A	Dividend	K	T					
70. Vanguard Extended Mkt Index Inst (VIEIX)	A	Dividend	K	T					
71. Vanguard Inst Index Fund Inst Plus (VBIIX)	B	Dividend	L	T					
72. BROKERAGE #1 (H)									
73. Schwab Bank Savings Sweep (cash)	A	Interest	K	T					
74. Charles Schwab US REIT ETF (SCHH)	A	Dividend	J	T					
75. iShares Gold ETF (IAU)		None	J	T					
76. Schwab Emerg Mkts Equity ETF (SCHE)	A	Dividend	J	T					
77. Schwab Fund Emg Mkts Large ETF IV (FNDE)	A	Dividend	K	T	Buy (add'l)	12/18/19	J		
78. Schwab Fund Intl Large Com ETF (FNDF)	B	Dividend	K	T					
79. Schwab Fund Intl Small Com ETF (FNDC)	A	Dividend	K	T	Buy (add'l)	12/18/19	J		
80. Schwab Fund US Large ETF IV (FNDX)	B	Dividend	K	T					
81. Schwab Fund US Small Com ETF (FNDA)	A	Dividend	K	T					
82. Schwab Intermed Term US Treas ETF (SCHR)	A	Dividend	K	T					
83. Schwab Intl Equity ETF (SCHF)	A	Dividend	K	T	Buy (add'l)	12/18/19	J		
84. Schwab Intl Small Cap Eqty ETF (SCHC)	A	Dividend	J	T					
85. Schwab US Large Cap ETF (SCHX)	A	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 \$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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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)
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86. Schwab US Small Cap ETF (SCHA)	A	Dividend	K	T					
87. Schwab US TIPS ETF (SCHP)	A	Dividend	K	T	Buy (add'l)	12/18/19	J		
88. SPDR Blmbrg Brcly Emg Mkt Lcl ETF (EBND)	A	Dividend	J	T	Buy (add'l)	12/18/19	J		
89. SPDR Intermed Term ETF (SPIB)	A	Dividend	J	T					
90. Vaneck Vectors JPMorgan Emerg Mkts Loc Curr Bd ETF (EMLC)	A	Dividend	J	T					
91. Vanguard Global Ex US Real Est ETF IV (VNQI)	A	Dividend	J	T					
92. Vanguard Mortgage Backed Sec ETF (VMBS)	A	Dividend	K	T					
93. Xtrackers USD High Yield Cor Bnd ETF (HYLB)	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

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S =Assessment

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T =Cash Market

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

Hixson, Thomas S.

Date of Report

07/09/2020

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/ Thomas S. Hixson**

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