

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018**

*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) ALSUP, WILLIAM H.	2. Court or Organization UNITED STATES DISTRICT COURT	3. Date of Report 01/22/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III -- ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address 450 GOLDEN GATE AVENUE SAN FRANCISCO, CALIFORNIA 94102		
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. 2018	Yosemite Foundation (dba Yosemite Conservancy)	\$191.19
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. 2018	Retirement pension from Oakland Unified School District.
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 Chicago-Kent College of Law	September 20-22, 2018	Chicago, Illinois	Speak at law school.	Transportation, hotels, and meals.
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
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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.			

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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)
1. Charles Schwab Account									
2. Schwab Money Market Fund	A	Interest	P1	T					
3. GNMA	A	Interest	J	T					
4. Boston-Ptty Inc. Reit	C	Dividend	M	T					
5. Mack Cal I Realty	B	Dividend	K	T					
6. Schwab S&P 500 Index	A	Dividend	P1	T					
7. Wells Fargo Advisors									
8. Cash Management Account	A	Interest	K	T					
9. Cal Muni Bond (Black Rock)***	C	Interest			Sold	01/12/18	M		
10. Cal Muni Bond (Black Rock)***	C	Interest			Sold	11/05/18	M		
11. Calif St RFDG Bond**	B	Interest	L	T	Buy	03/4/16	L		
12. Ross Vly CA Sch. Dist.**	A	Interest	K	T	Buy	02/15/17	J		
13. Muni Bond County of San Francisco, CA**	A	Interest	K	T	Buy	02/15/17	J		
14. Muni Bond County of San Francisco, CA**	A	Interest	K	T	Buy	04/03/17	J		
15. Cal St RFDG Bond**	A	Interest	K	T	Buy	11/05/18	J		
16. Chabot LAS Positas Bond	A	Interest	K	T	Buy	11/05/18	J		
17. Citizens Bank CD	A	Interest	M	T	Buy	12/12/18	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	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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)					

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)
18. Venture Van Annuity (John Hancock) Fixed-Rate Annuity*	E	Interest	N	T					
19. American Funds									
20. American Bal. Fund	E	Dividend	P1	T					
21. Capital World Growth	E	Dividend	M	T					
22. American Fund Tax Ex	D	Dividend	N	T					
23. Bank of America Accounts	B	Interest	M	T					
24. Federal Credit (Provident)	B	Interest	M	T					
25. Wisconsin Energy	A	Dividend	K	T					
26. Kimberly Clark	B	Dividend	L	T					
27. Halyard Health	A	Dividend	J	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

This does not include my Thrift Savings Plan funded by my government salary, according to the Help Desk for filing Financial Disclosure Reports at the AO.

* Venture Van Annuity (John Hancock): In 2018, we started receiving monthly annuity payment in the monthly amount of \$1029.87. There have been no purchase, sale or exchange related to the annuity.

** The first three bonds listed (Nos. 11, 12, 13 and 14) above should have been listed last year but through error on my part I failed to realize it.

*** These two line items (9 and 10) carried as a single line item with a valuation of "M" but were sold in two chunks during 2018. The form would not allow two dates to be inserted in Column D2 so we divided it into two line items Line 9 and 10, one for each chunk of sale during 2018, and for the sake of consistency valued each line item as "M" under Column D3.

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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/ WILLIAM H. ALSUP**

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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