

**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) Hammond, Mary E.	2. Court or Organization US BANKRUPTCY COURT - NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report 03/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE (FULL-TIME)	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 S. FIRST ST COURTROOM 3035 SAN JOSE, CA 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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Name of Person Reporting

Hammond, Mary E.

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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.	
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. NATIONAL CONFERENCE OF BANKRUPTCY JUDGES	10/29/2019-11/2/2019	Washington, D.C.	ACTIVITY OF PROFESSIONAL ASSOCIATION OR CIVIC ORGANIZATION	TRANSPORTATION, LODGING, AND MEALS
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Hammond, Mary E.	03/15/2020

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.		

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Name of Person Reporting

Hammond, Mary E.

Date of Report

03/15/2020

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)
1. WELLS FARGO CHECKING ACCOUNT	A	Interest			Closed	10/21/19	J		
2. WELLS FARGO SAVINGS ACCOUNT	A	Interest			Closed	10/21/19	J		
3. KEYPOINT CREDIT UNION CHECKING		None	J	T					
4. ALLY BANK SAVINGS ACCOUNT	B	Interest	M	T					
5. FIDELITY TRUST ACCOUNT (H)									
6. FIDELITY MUNICIPAL MONEY MARKET	A	Dividend	J	T					
7. AAPL (COMMON)	D	Dividend	O	T	Sold (part)	03/20/19	K	E	
8. AAPL (COMMON)					Sold (part)	06/21/19	J	C	
9. IRA #1 (H)									
10. FIDELITY GOVERNMENT CASH RESERVES		None	J	T					
11. COLUMBIA ACORN CLASS I	B	Dividend	K	T					
12. FIDELITY VALUE	A	Dividend	K	T					
13. MERIDIAN CONTRARIAN FUND LEGACY (MVALX)	B	Dividend	J	T					
14. IRA #2 (H)									
15. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	K	T					
16. DISNEY WALT CO	A	Dividend			Sold	11/19/19	K		
17. FIDELITY REAL ESTATE INVESTMENT	C	Dividend	K	T	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	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	

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. RBC MICROCAP VALUE FUND INSTL CLASS (RMVIX)	B	Dividend	K	T					
19. IRA #3 (H)									
20. FIDELITY CANADA	B	Dividend	K	T					
21. FIDELITY 500 INDEX FUND	C	Dividend	M	T					
22. FIDELITY MID CAP STOCK	C	Dividend	L	T					
23. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
24. FIDELITY STOCK SELECTOR LARGE CAP VALUE	A	Dividend	K	T					
25. FIDELITY MID CAP VALUE	D	Dividend	M	T					
26. FIDELITY LOW PRICED STOCK	D	Dividend	M	T					
27. FIDELITY SELECT TELECOM	A	Dividend	K	T					
28. FMI INTERNATIONAL	B	Dividend	L	T					
29. JANUS HENDERSON SMALL CAP VALUE T	A	Dividend	L	T					
30. JANUS HENDERSON GL LIFE SCIENCES (JAGLX)	B	Dividend	K	T					
31. MATTHEWS INDIA FUND	C	Dividend	K	T					
32. FIDELITY TOTAL BOND	A	Dividend	K	T					
33. FIDELITY STRATEGIC INCOME	B	Dividend	L	T					
34. FIDELITY REAL ESTATE INVESTMENT	C	Dividend	L	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)
35. BNY MELLON SMALLCAP STOCK	D	Dividend	L	T					
36. DISNEY WALT CO	A	Dividend			Sold	11/19/19	J		
37. FIDELITY MSCI HEALTH CARE INDEX ETF (FHLC)	A	Dividend	K	T	Buy (add'l)	02/08/19	J		
38. IRA #4 (H)									
39. FIDELITY GOVERNMENT CASH RESERVES		None	J	T					
40. DODGE & COX STOCK	C	Dividend	K	T					
41. BNY MELLON SMALLCAP STOCK	B	Dividend	K	T					
42. FIDELITY DIVERSIFIED INTERNATIONAL	A	Dividend	K	T					
43. FIDELITY MID CAP STOCK	A	Dividend	J	T					
44. FIDELITY VALUE	B	Dividend	K	T					
45. MERIDIAN CONTRARIAN FUND LEGACY	B	Dividend	K	T					
46. FIDELITY CONTRAFUND	D	Dividend	M	T					
47. FIDELITY STRATEGIC DIVIDEND & INCOME	D	Dividend	M	T					
48. FIDELITY STRATEGIC INCOME	B	Dividend	K	T					
49. IRA #5 (H)									
50. FIDELITY GOVERNMENT CASH RESERVES		None	J	T					
51. FIDELITY DIVERSIFIED INTERNATIONAL	A	Dividend	J	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.)

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52. IRA #6 (H)									
53. FIDELITY 500 INDEX FUND	A	Dividend	K	T					
54. FIDELITY GOVERNMENT CASH RESERVES		None	J	T					
55. LINCOLN BENEFIT LIFE FLEXIBLE PREMIUM ADJUSTABLE INDEXED UNIVERSAL #1	D	Interest	M	T					
56. LINCOLN BENEFIT LIFE FLEXIBLE PREMIUM ADJUSTABLE INDEXED UNIVERSAL #2	C	Interest	L	T					
57. UTAH EDUCATIONAL SAVINGS PLAN AGE BASED AGGRESSIVE GLOBAL #1	C	Dividend	M	T					
58. UTAH EDUCATIONAL SAVINGS PLAN AGE BASED AGGRESSIVE GLOBAL #2	D	Dividend	M	T					

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Name of Person Reporting

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

DREYFUS SMALL CAP STOCK INDEX changed name to BNY MELLON SMALLCAP STOCK

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Name of Person Reporting

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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/ **Mary E. Hammond**

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