

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) Tigar, Jon S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 07/21/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	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 1301 Clay Street Oakland, CA 94612		
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. Director	Trust dtd. 05/13/1997
2. Director	Trust dtd. 08/27/1999
3. Director	Trust dtd. 08/27/1999
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 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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.		
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. American Bar Association -- Section of Antitrust Law	1/17/19 to 1/19/19	Dana Point, CA	Section meadership meeting	Transportation, meals, hotel
2. American Bar Association -- Section of Antitrust Law	2/2/2019 to 2/6/2019	Nashville, TN	Consumer protection conference	Transportation, meals, hotel
3. American Bar Association -- Section of Litigation	4/30/2019 to 5/3/2019	New York, NY	Section annual meeting	Transportation, meals, hotel
4. Emory University	8/4/2019 to 8/6/2019	Chicago, IL	MDL Conference	Transportation, meals, hotel
5.				

Name of Person Reporting	Date of Report
Tigar, Jon S.	07/21/2020

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 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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. TIAA-CREF Traditional Annuity	D	Distribution	J	T					
2.									
3. Individual Account (H)									
4. - Vanguard FTSE All-World ex-US Index Fund	A	Dividend	K	T					
5.									
6. Rollover IRA (H)									
7. - DFA Commodity Strategy Portfolio	B	Dividend	L	T					
8. - DFA Emerging Markets Portfolio	A	Dividend	K	T					
9. - DFA Global Real Estate Security Port Institutional	D	Dividend	M	T					
10. - DFA International Small Company Portfolio	B	Dividend	K	T					
11. - IndexIQ Merger Arbitrage ETF		None	L	T					
12. - iShares Short Term Corporate Bond ETF	D	Dividend	N	T					
13. - PIMCO Stocksplus Intl Fd Usd Hedged A	E	Dividend	M	T					
14. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T					
15. - Thompson Bond Fund (X)	C	Dividend	L	T					
16.									
17. Living Trust #1 (H)									

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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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)
18. - Artisan Global Opportunities Fund	D	Distribution	M	T					
19. - DFA Commodity Strategy Portfolio	B	Dividend	L	T					
20. - DFA Emerging Markets Portfolio	C	Dividend	M	T	Buy (add'l)	12/17/19	L		
21. - DFA Global Real Estate Security Port Institutional	C	Distribution	N	T	Buy (add'l)	12/17/19	M		
22. -- DFA Global Real Estate Security Port Institutional	E	Dividend							
23. - DFA International Small Company Portfolio	C	Distribution	M	T	Buy (add'l)	12/17/19	L		
24. -- DFA International Small Company Portfolio	C	Dividend							
25. - Fidelity CA Ltd Term Tax Free Bond Fund	C	Dividend	M	T					
26. - IndexIQ Merger Arbitrage ETF		None	N	T					
27. - Oakmark Global Fund	B	Distribution	L	T					
28. -- Oakmark Global Fund	A	Dividend							
29. - PRIMECAP Odyssey Aggressive Growth Fund	E	Distribution	M	T					
30. - Vanguard CA Inter Term Tax-Exempt Fund Admiral Shares	C	Dividend	M	T					
31. - Vanguard Dividend Appreciation Index Fund	C	Dividend	M	T					
32. - Vanguard FTSE All-World ex-US Index Fund	D	Dividend	N	T	Buy (add'l)	12/17/19	M		
33. - Vanguard Mid-Cap Index Fund	C	Dividend	N	T					
34. - Vanguard Short-Term Investment-Grade Fund	D	Dividend	N	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 6 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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)
35. - Vanguard Small-Cap Growth Index Fund	A	Dividend	M	T					
36.									
37. Living Trust #2 (H)									
38. - Avery Dennison Corp Common Stock	E	Dividend	O	T					
39. - DFA Commodity Strategy Portfolio	A	Dividend	L	T					
40. - DFA Emerging Markets Portfolio	A	Dividend	K	T					
41. - DFA Global Real Estate Securities Portfolio	B	Distribution	M	T					
42. -- DFA Global Real Estate Securities Portfolio	D	Dividend							
43. - DFA International Small Company Portfolio	A	Distribution	K	T					
44. -- DFA International Small Company Portfolio	A	Dividend							
45. - IndexIQ Merger Arbitrage ETF		None	L	T					
46. - Schwab 1000 Index Fund	E	Distribution	P1	T					
47. -- Schwab 1000 Index Fund	E	Dividend	P1	T					
48. - Vanguard FTSE All-World ex-US Index Fund	D	Dividend	M	T					
49.									
50. Irrevocable Trust #1 (H)									
51. - Arbitrage Fund Class I	A	Distribution	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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)
52. -- Arbitrage Fund Class I	A	Dividend							
53. - DFA Global Real Estate Securities I	A	Distribution	K	T					
54. -- DFA Global Real Estate Securities I	C	Dividend							
55. - PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T					
56. - Vanguard 500 Index Fund	C	Dividend	M	T					
57. - Vanguard Extended Market Index Fund	B	Dividend	L	T					
58. - Vanguard FTSE All-World Ex-US Index Fund	D	Dividend	M	T					
59. - Vanguard Short Term Investment Grade Fund	B	Dividend	L	T					
60. - Vanguard Small Cap Index Fund	B	Dividend	L	T					
61.									
62. Vanguard Account (H)									
63. - Vanguard FTSE All-World Ex-US Index Fund	B	Distribution	K	T					
64. - Vanguard Global Ex-US Real Estate Index Fund Admiral	C	Distribution	L	T					
65. - Vanguard Real Estate Index Admiral	B	Distribution	L	T					
66. - Vanguard Short Term Investment Grade Fund	C	Distribution	M	T					
67.									
68. Irrevocable Trust #2 (H)									

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 8 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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)
69. - Artisan Global Oppty Inv Cl	C	Distribution	L	T					
70. - Driehaus Emerging Markets Growth Fund	A	Dividend	J	T					
71. - Eaton Vance Core Plus BD	A	Distribution	L	T	Buy	11/25/19	K		
72. -- Eaton Vance Core Plus BD	A	Dividend							
73. - iShares Core S&P 500	B	Dividend	M	T					
74. - Janus Flexible Bond Fund	A	Dividend			Sold	11/25/19	K	A	
75. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T					
76. - Schwab Fdmtl US Sm Co Idx	A	Distribution	K	T					
77. -- Schwab Fdmtl US Sm Co Idx	A	Dividend							
78. - Vanguard Dividend Appreciation Index Fund	A	Dividend	K	T					
79. - Vanguard Small Cap ETF	A	Dividend	K	T	Buy	11/27/19	K		
80.									
81. Irrevocable Trust #3 (H)									
82. - Artisan Global Oppty Inv Cl	D	Distribution	L	T					
83. - Congress Small Cap Growth Retail					Sold	11/29/19	K	D	
84. - Eaton Vance Core Plus BD	A	Distribution	M	T	Buy	12/02/19	M		
85. -- Eaton Vance Core Plus BD	A	Dividend							

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)
86. - Janus Flexible Bond Fund	C	Dividend			Sold	11/29/19	M	A	
87. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	L	T					
88. - Schwab 1000 Index Fund	A	Distribution	K	T					
89. -- Schwab 1000 Index Fund	A	Dividend	K	T					
90. - Vanguard Small Cap ETF	A	Dividend	L	T	Buy	11/29/19	K		
91.									
92.									
93.									

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 10 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Tigar, Jon S.

Date of Report

07/21/2020

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/ **Jon S. Tigar**

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