

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) Freeman, Beth L.	2. Court or Organization U. S. District Court, Northern District of California	3. Date of Report 01/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	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 U. S. District Court 280 South First St. San Jose, CA 95113		
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. Member, Board of Governors	Association of Business Trial Lawyers
2. Director	Junior Statesmen Foundation
3. Co-Trustee	Freeman Family Trust
4. Director	Federal Practice Program
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. 1983	San Mateo County Employees' Retirement Association - Pension
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. 2019	San Mateo County Employees' Retirement Association - Pension	\$85,832.00
2. 2019	State of California payment of wages owed as a result of litigation for state court judges	\$18,815.00
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	Jones Day Qualified Defined Benefit Pension Plan - Pension
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.				
2.				
3.				
4.				
5.				

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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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Name of Person Reporting

Freeman, Beth L.

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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) 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. Freeman Aggregate (H)									
2. - DFA US Core Equity I Institutional	B	Dividend	K	T					
3. - SPDR S&P 500 ETF	D	Dividend	N	T					
4. - Schwab Total Stock Market Index Fund	A	Dividend	K	T					
5. - Vanguard Dividend Appreciation ETF	B	Dividend	L	T					
6. - Vanguard Growth Index Fund Admiral Shares	A	Dividend	L	T					
7. - Vanguard Total Stock Market ETF	D	Dividend	N	T					
8. - Artisan International Fund Advisor Class	A	Dividend	K	T					
9. - Vanguard FTSE All World ex-US ETF	A	Dividend	K	T					
10. - Vanguard FTSE Developed Markets ETF	B	Dividend	L	T					
11. - iShares MSCI Pacific ex-Japan ETF	B	Dividend	K	T					
12. - Stone Ridge All Asset Variance Risk Premium Fund		None			Sold	07/12/19	O		
13. - FPA Crescent Fund	B	Dividend	K	T					
14. - Glenmede Secured Options Portfolio		None			Sold	01/18/19	O		
15. - Stone Ridge Reinsurance Risk Premium Fund	B	Dividend	M	T	Sold (part)	05/24/19	L		
16.					Sold (part)	08/23/19	K		
17.					Sold (part)	11/22/19	K		

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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18. - RiverPark Short Term High Yield Fund	C	Dividend	M	T					
19. - Shenkman Short Duration High Income	E	Dividend	O	T					
20. - DoubleLine Total Return Bond Fund	E	Dividend	P1	T	Buy (add'l)	02/12/19	P1		
21.					Buy (add'l)	07/17/19	N		
22. - Voya Securitized Credit Fund	E	Dividend	O	T	Sold (part)	1/23/19	K		
23. - Schwab Government Money Market Fund	A	Interest	J	T	Sold (part)	01/22/19	J		
24.					Buy (add'l)	01/24/19	J		
25.					Sold (part)	01/25/19	J		
26.					Buy (add'l)	07/17/19	J		
27.					Sold (part)	07/18/19	J		
28.					Buy (add'l)	08/28/19	J		
29.					Sold (part)	08/29/19	J		
30.					Buy (add'l)	12/19/19	J		
31. - AbbVie Inc Common Stock	B	Dividend	K	T					
32. - Abbott Laboratories Common Stock	A	Dividend	K	T					
33. - Apple Inc Common Stock	D	Dividend	O	T					
34. - CVS Corporation Common Stock	C	Dividend	M	T					

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35. - Coca Cola Co. Common Stock	C	Dividend	M	T					
36. - Colgate-Palmolive Co. Common Stock	B	Dividend	K	T					
37. - Comcast Corp. New Common Stock	C	Dividend	N	T					
38. - MasterCard Inc Common Stock	A	Dividend	M	T					
39. - McDonald Corp Common Stock	B	Dividend	L	T					
40. - Mircosoft Corp Common Stock	D	Dividend	O	T					
41. - Pepsico, Inc Common Stock	D	Dividend	N	T					
42. - Proctor & Gamble Co Common Stock	C	Dividend	M	T					
43. - TJX Companies Inc Common Stock	A	Dividend	K	T					
44. - Visa, Inc Common Stock	B	Dividend	N	T					
45. - Walgreens Boots Alliance Inc Common Stock	A	Dividend	K	T					
46. - FSC Retreat at Conroe, Conroe, TX (2014 \$75,000)	C	Rent	L	W	Distributed (part)	08/29/19	L		
47. - FSC Estates at Canyon Ridge, San Antonio, TX (2014 \$75,000)	B	Rent	L	W					
48. - FSC Vista Sureno, Phoenix, AZ (2015 \$75,000)		None			Sold	01/24/19	M		
49. - FSC Granada Hills, Los Angeles, CA (2015 \$75,000)	C	Rent	L	W					
50. - FSC Brightwater, Seattle, WA (2016 \$75,000)	C	Rent	L	W					
51. - FSC La Paloma, Albuquerque, NM (2016 \$75,000)	C	Rent	L	W					

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52. - FSC Still Waters, Austin, TX (2017 \$125,000)	D	Rent	M	W					
53. - FSC Old California, Austin, TX (2019 \$130,000)	D	Rent	M	W	Buy	01/24/19	M		
54. - Guggenheim Macro Opportunities Fund	A	Dividend			Sold	02/05/19	N		
55. - Elements US Small Cap Portfolio	D	Dividend	N	T	Buy (add'l)	01/18/19	J		
56. - Elements International Portfolio	E	Dividend	P1	T	Buy (add'l)	01/18/19	N		
57.					Sold (part)	07/12/19	J		
58. - Elements International Small Cap Portfolio	D	Dividend	N	T	Buy (add'l)	01/18/19	M		
59.					Buy (add'l)	02/06/19	M		
60.					Sold (part)	10/08/19	M		
61. - Elements Emerging Markets Portfolio	D	Dividend	N	T	Buy (add'l)	02/06/19	K		
62.					Sold (part)	10/09/19	K		
63.					Sold (part)	10/25/19	J		
64. - CrossBridge Low Duration High Yield Fund	E	Dividend	O	T	Sold (part)	01/23/19	J		
65. - Robinson Tax Advantaged Income Fund	E	Dividend	O	T	Buy (add'l)	02/05/19	N		
66. - Goldman Sachs MLP Energy Infrastructure Fund	E	Dividend	M	T	Buy (add'l)	02/12/19	M		
67.					Buy (add'l)	05/30/19	L		
68.					Sold (part)	12/31/19	M		

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69. - Doubleline Strategic Commodity Fund	D	Dividend	O	T	Buy (add'l)	02/12/19	M		
70.					Buy (add'l)	07/17/19	N		
71.					Buy (add'l)	08/29/19	K		
72. - Brookfield Center Coast MLP Fund	B	Dividend			Sold	02/12/19	M	D	
73.					Buy	12/31/19	M		
74. - RiverPark Floating Rate CMBS Fund	A	Dividend	L	T	Buy	08/30/19	L		
75.					Buy (add'l)	10/31/19	J		
76. - Vanguard FTSE All World Ex-US Small Cap Index Fund	C	Dividend	N	T	Buy	10/08/19	M		
77. - Vanguard Emerging Markets Fund	A	Dividend			Sold	02/06/19	K		
78.					Buy	10/09/19	K		
79. - PIMCO Total Return Fund	C	Dividend			Sold	02/12/19	P1	D	
80. - ALPS CoreCommodity Management CompleteCommodities Strategy Fund		None			Sold	02/12/19	M		
81. - Fidelity International Small Cap Fund		None			Sold	02/06/19	M	D	
82. - Charles Schwab Bank Cash Account (X)	A	Interest	L	T					
83. Charitable Gift Account (H)									
84. - Schwab Charitable Equity Index Pool		None	J	T	Sold (part)	02/06/19	J		
85. - Schwab Charitable Income Pool		None	J	T	Sold (part)	02/06/19	J		

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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)
86. - Schwab Charitable International Pool		None	J	T	Sold (part)	02/06/19	J		
87. - Schwab Charitable Money Market Pool		None	J	T	Sold (part)	02/06/19	J		
88. - Schwab Charitable Short Term Income Pool		None	J	T	Sold (part)	02/06/19	J		
89.					Sold (part)	06/14/19	J		
90. New Heights Associates LLC (Inherited)		None	M	W					
91. Jones Day Capital Account	A	Int./Div.	J	U					
92. Jones Day 2015 Fund		None	N	T					
93. Wells Fargo Bank Checking Account	A	Int./Div.	M	T					
94.									

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

Part I, line 2. Junior Statesmen Foundation Trustee term ended 12/31/18. Director term began 1/1/2019

Line 6 - On 7/26/19 Vanguard Growth Index Fund Investor Shares was exchanged for Vanguard Growth Index Fund Admiral Shares in a non-taxable exchange.

Line 82 - On 8/22/18 the Schwab U. S. Treasury Money Market Fund was discontinued and its proceeds were moved into the Charles Schwab Bank cash account, which was inadvertently omitted from the 2018 report.

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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/ **Beth L. Freeman**

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