

**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) ALSUP, WILLIAM H.	2. Court or Organization UNITED STATES DISTRICT COURT	3. Date of Report 12/01/2020
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 01/01/2019 to 12/31/2019
	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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

ALSUP, WILLIAM H.

Date of Report

12/01/2020

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. 2019	Won Over (book sale)	\$1,363.85
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. 2019	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. Mississippi State Foundation	February 27--March 1, 2019	Mississippi State, MS, and Jackson, MS	Won Over Book Tour/speaking engagements.	Transportation, hotels, receptions and meals.
2. UM Foundation	April 16--18, 2019	Oxford, MS, Jackson, MS	Won Over Book Tour/speaking engagements.	Transportation, hotels, receptions and meals.
3. International IP Court Conference, Patent Court of Korea	October 12--18, 2019	Daejeon, South Korea, Seoul, Korea	Participated as speaker/panelist at conference.	Transportation, hotels, receptions and meals.
4. Santa Clara Bar Association	November 21, 2019	Santa Clara, California	Spoke at conference re Won Over book and experiences growing up in Mississippi in 60s	One night's hotel.

Name of Person Reporting	Date of Report
ALSUP, WILLIAM H.	12/01/2020

5. _____

Name of Person Reporting	Date of Report
ALSUP, WILLIAM H.	12/01/2020

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 5 of 8

Name of Person Reporting

ALSUP, WILLIAM H.

Date of Report

12/01/2020

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. Charles Schwab Account									
2. Schwab Money Market Fund	A	Interest	O	T					
3. GNMA	A	Interest	J	T					
4. Boston-Ptty Inc. Reit	C	Dividend	M	T					
5. Mack Cal I Realty	B	Dividend	L	T					
6. Schwab S&P 500 Index	A	Dividend	O	T					
7. Wells Fargo Advisors									
8. Cash Management Account	A	Interest	K	T					
9. Calif St RFDG Bond	A	Interest	K	T					
10. Ross Vly CA Sch. Dist.	A	Interest	K	T					
11. Muni Bond County of San Francisco*	A	Interest	K	T					
12. Cal St RFDG Bond	A	Interest	L	T					
13. Chabot LAS Positas Bond	A	Interest	K	T					
14. Citizens Bank CD	A	Interest			Sold	06/19/19	K		
15. Venture Van Annuity (John Hancock) Fixed-Rate Annuity**	E	Interest	N	T					
16. American Funds									
17. American Bal. Fund	E	Dividend	P1	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	

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. Capital World Growth	D	Dividend	N	T					
19. American Fund Tax Ex	D	Dividend	N	T					
20. Bank of America Accounts	B	Interest	M	T					
21. Federal Credit (Provident)	B	Interest	M	T					
22. Wisconsin Energy	A	Dividend	K	T					
23. Kimberly Clark	B	Dividend	L	T					
24. Halyard Health (now Avanos Medical)	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

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

ALSUP, WILLIAM H.

Date of Report

12/01/2020

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.

* In 2017, I bought municipal bonds of County of San Francisco, California, and should have reported it as only one line item last year but erroneously reported it as two line items (13 and 14 lines).

** 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.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

ALSUP, WILLIAM H.

Date of Report

12/01/2020

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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544