

**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) Gilliam Jr., Haywood S.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 04/30/2020
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 1301 Clay Street Oakland, CA 94612		
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.)*

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1 (no reportable holdings)
2.	Board President	Northern District of California Practice Program
3.	Board of Governors Member	Association of Business Trial Lawyers Northern California Chapter
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.	

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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.	The American Bar Association	March 6–8, 2019	New Orleans, LA	ABA National Institute on White Collar Crime	Transportation, hotel, meals
2.	University of Southern California, Gould School of Law	March 18–19, 2019	Santa Monica, CA	USC Intellectual Property Institute	Transportation, hotel
3.	The American Bar Association	April 4–5, 2019	San Diego, CA	ABA Motor Vehicle Conference	Transportation, hotel, meals
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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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. Individual Assets (H)									
2. Citibank cash accounts (cash)	A	Interest	K	T					
3. Chase cash accounts (cash)	A	Interest	J	T					
4. Security Benefit Life Total Value Annuity (fixed annuity)	A	Interest	L	T					
5. IRA #1 (H)									
6. Horizon Active Risk Assist Fund Class N (ARANX)	A	Dividend	K	T					
7. Horizon Multi Asset Income Fd Inv Class (HMANX)	A	Dividend	J	T	Buy	10/22/19	J		
8. Horizon U.S. Risk Assist Fund Inv Class (USRAX)	A	Dividend	J	T	Buy	10/22/19	J		
9. Horizon Defined Risk Fund Investor Class (HNDRX)	A	Dividend	J	T	Buy (add'l)	10/22/19	J		
10. Horizon Dynamic Dividend Fund Investors Class(HNDDX)	A	Dividend	J	T	Buy	01/04/19	J		
11.					Buy (add'l)	10/22/19	J		
12. Horizon Active Income Fund Class N (AIMNX)	A	Dividend	J	T	Sold (part)	10/22/19	J	A	
13. First Tr ETF III Horizon Managed Vol Dev Intl ETF (HDMV)	A	Dividend	J	T					
14. First Tr ETF III Horizon Managed Vol Domestic ETF (HUSV)	A	Dividend	J	T					
15. iShares Tr Short Treas Bd ETF (SHV)	A	Dividend			Sold	10/22/19	J	A	
16. Vanguard Bd Index Fds Vanguard Total Bd Market ETF (BND)	A	Dividend			Sold	10/22/19	J	A	
17. Ishares TR Barclays 7-10 Yr Teas BD ETF (IEF)	A	Dividend	J	T	Buy	10/22/19	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	

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18. IRA #2 (H)									
19. FDIC Insured Deposit Sweep Account (cash)	A	Interest	J	T					
20. American Balanced Func Class F-2 (AMBFX)	B	Dividend	K	T	Buy	08/08/19	K		
21. The Bond Fund of America Class F-2 (ABNFX)	A	Dividend	K	T	Buy	08/08/19	K		
22. Medtronic PLC Shs (MDT)	A	Dividend			Sold	08/08/19	J	B	
23. Steris PLC Shs (STE)	A	Dividend			Sold	08/08/19	J	B	
24. Capital Income Builder Func Class F-2 (CAIFX)	B	Dividend	L	T	Buy	08/08/19	L		
25. Capital World Growth & Income Fund Class F-2 (WGIFX)	B	Dividend	M	T	Buy	08/08/19	M		
26. Chubb LTD Com (CB)	A	Dividend			Buy (add'l)	08/05/19	J		
27.					Sold	08/08/19	J	B	
28. Aaron's Inc Com (AAN)	A	Dividend			Sold (part)	08/05/19	J	A	
29.					Sold	08/08/19	J	C	
30. Alliance Resource Partners LP Unit L TD (ARLP) (X)		None			Sold	08/08/19	J		
31. Albemarle Corp Com (ALB)	A	Dividend			Sold	01/17/19	J		
32. Ameriprise Finl Inc Com (AMP)	A	Dividend			Sold	08/08/19	J	A	
33. Antero Midstream Corp Com (AM)		None			Buy (add'l)	04/02/19	J		
34.					Sold	08/08/19	J	A	

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35. Becton Dickinson & Co (BDX)	A	Dividend			Sold	08/08/19	J	A	
36. Canadian Natl Ry Co Com (CNI)	A	Dividend			Sold	08/08/19	J	A	
37. Canadian Natural Res LTD (CNQ)	A	Dividend			Sold	08/08/19	J		
38. Casey's Gen Stores Inc (CASY)	A	Dividend			Sold (part)	01/17/19	J	A	
39.					Sold (part)	08/05/19	J	A	
40.					Sold	08/08/19	J	C	
41. Cheniere Energy PARTners LP COM (CQP)		None			Sold	08/08/19	J	A	
42. Church & Dwight Co Inc (CHD)	A	Dividend			Sold (part)	08/05/19	J	A	
43.					Sold	08/08/19	J	B	
44. Costco Wholesale Corp New Com (COST)	A	Dividend			Sold	08/08/19	K	C	
45. DCP Midstream LP Com Units Ltd (DCP)		None			Buy	08/05/19	J		
46.					Sold	08/08/19	J		
47. EQM Midstream Partners LP (EQM)		None			Sold	08/05/19	J		
48. Ecolab Inc Com (ECL)	A	Dividend			Sold (part)	04/02/19	J	A	
49.					Sold	08/08/19	J	B	
50. Enable Midstream Partners LP Com (ENBL)		None			Sold	08/08/19	J		
51. Energy Transfer LP Com (ET)		None			Buy (add'l)	01/28/19	J		

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52.					Sold	08/08/19	J		
53. Enlink Midstream Ream Partners LP (ENLK)		None			Sold	08/08/19	J		
54. Enterprise Prods Partners LP (EPD)		None			Buy (add'l)	08/05/19	J		
55.					Sold	08/08/19	J	A	
56. Flowers Foods Inc Com (FLO)	A	Dividend			Buy	01/17/19	J		
57.					Sold (part)	08/05/19	J	A	
58.					Sold	08/08/19	J	A	
59. General Dynamics Corp Com (GD)	A	Dividend			Sold	08/08/19	J	A	
60. The Growth Fund of America Class F-2 (GFFFX)	C	Dividend	L	T	Buy	08/08/19	L		
61. Hanover Ins Group Inc Com (THG)	A	Dividend			Sold	08/08/19	J	A	
62. L3Harris Technologies Inc Corp (HRS)	A	Dividend			Buy	05/01/19	J		
63.					Sold	08/08/19	J	A	
64. Hasbro Inc Com (HAS)	A	Dividend			Sold	08/08/19	J	B	
65. Heico Corp New Com (HEI)	A	Dividend			Buy	04/02/19	J		
66.					Sold	08/08/19	J	A	
67. Helmerich & Payne Inc Com (HP)	A	Dividend			Buy (add'l)	01/17/19	J		
68.					Sold	08/08/19	J		

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69. Hess Midstream Partners LP (HESM)		None			Sold	08/08/19	J		
70. Holly Energy Partners LP Com (HEP)		None			Buy	05/01/19	J		
71.					Sold	08/08/19	J		
72. Hormel Foods Corp Com (HRL)	A	Dividend			Sold (part)	01/17/19	J	A	
73.					Sold	08/08/19	J		
74. Illinois Tool Works Inc Com (ITW)	A	Dividend			Sold (part)	04/02/19	J	A	
75.					Sold	08/08/19	J	A	
76. International Business Machs Corp Com (IBM)	A	Dividend			Buy (add'l)	04/02/19	J		
77.					Sold	08/08/19	J		
78. Intl Flavors & Fragrances Inc (IFF)	A	Dividend			Sold	08/08/19	J		
79. The Investment Company of America Class F-2 (ICAFX)	D	Dividend	M	T	Buy	08/08/19	J		
80. Lockheed Martin Corp Com (LMT)	A	Dividend			Buy (add'l)	08/05/19	J		
81.					Sold	08/08/19	J	B	
82. MPLX LP Com Unit Repstg LTD Partner Int (MPLX)		None			Buy (add'l)	04/02/19	J		
83.					Sold	08/08/19	J		
84. Magellan Midstream Partners LP Com Unit (MMP)		None			Buy (add'l)	04/02/19	J		
85.					Sold	08/08/19	J	A	

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86. McDonalds Corp (MCD)	A	Dividend			Buy	01/17/19	J		
87.					Buy (add'l)	04/02/19	J		
88.					Sold	08/08/19	J	B	
89. Microsoft Corp Com (MSFT)	A	Dividend			Sold (part)	05/01/19	J	A	
90.					Sold	08/08/19	K	C	
91. Nextra Energy Partners LP com Unit L TD (NEP)	A	Dividend			Buy	08/05/19	J		
92.					Sold	08/08/19	J	A	
93. Nike Inc Cl B (NKE)	A	Dividend			Sold	08/08/19	J	A	
94. Noble Midstream Partners LP Com Unit (NBLX) (Y)									
95. Occidental Pete Corp Com (OXY)	A	Dividend			Buy (add'l)	06/03/19	J		
96.					Sold (part)	06/11/19	J		
97.					Sold	08/08/19	J		
98. ONEOK Inc New Com (OKE)	A	Dividend			Buy (add'l)	01/17/19	J		
99.					Buy (add'l)	08/05/19	J		
100.					Sold	08/08/19	J	A	
101. Parker Hannifin Corp Com (PH)	A	Dividend			Sold (part)	04/02/19	J		
102.					Sold	06/11/19	J	A	

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103. Pembina Pipeline Corp Com (PBA)		None			Buy	08/05/19	J		
104.					Sold	08/08/19	J	A	
105. Phillips 66 Partners LP Com (PSXP)		None			Buy (add'l)	08/05/19	J		
106.					Sold	08/08/19	J	A	
107. Polaris Industries Inc Com (PII)	A	Dividend			Sold	08/08/19	J	A	
108. Qualcomm Inc (QCOM)		None			Buy	06/11/19	J		
109.					Sold	08/08/19	J	A	
110. Raytheon Co Com New (RTN)	A	Dividend			Sold	08/08/19	J		
111. Roper Technologies Inc Com (ROP)	A	Dividend			Sold	08/08/19	J	B	
112. Ross Stores Inc (ROST)	A	Dividend			Sold	08/08/19	J	B	
113. SEI Investments Co Com (SEIC)	A	Dividend			Sold	08/08/19	J		
114. Sherwin Williams Co Com (SHW)	A	Dividend			Sold (part)	04/02/19	J	A	
115.					Sold	08/08/19	J	B	
116. Shire PLC Spons ADR (SHPG)		None			Merged (with line 124)	01/10/19	J	B	
117. Summit Midstream Partners LP Com (SMLP)		None			Sold	04/02/19	J		
118. Suncor Energy Inc New Com (SU)	A	Dividend			Sold	08/08/19	J		
119. TJX Cos Inc New Com (TJX)	A	Dividend			Sold	08/08/19	J	B	

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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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)
120. Tallgrass Energy GP LP Shs Cl A (TGE)		None			Sold	08/08/19	J		
121. Targa Res Corp Com (TRGP)	A	Dividend			Buy (add'l)	01/17/19	J		
122.					Buy (add'l)	04/02/19	J		
123.					Sold	08/08/19	J		
124. Takeda Pharmaceutical Co Ltd (TAK)		None			Sold	01/17/19	J	A	
125. TC Energy Corporation Registered SHS (TRP) (X)	A	Dividend			Sold	08/08/19	J	A	
126. Tencent Hldgs LTD ADR (TCEHY)	A	Dividend			Sold (part)	01/17/19	J		
127.					Sold	08/08/19	J		
128. Texas Instruments Inc (TXN)	A	Dividend			Sold	08/08/19	J	B	
129. USA Compression Partners LP Com Unit (USAC)		None			Sold	08/08/19	J	A	
130. Union Pac Corp Com (UNP)	A	Dividend			Sold	08/08/19	J	B	
131. V F Corp Com (VFC)	A	Dividend			Sold	08/08/19	J	A	
132. Viper Energy Partners LP Com Unit (VNOM)	A	Dividend			Sold (part)	05/01/19	J		
133.					Sold	08/08/19	J	A	
134. Visa Inc Com Cl A (V)	A	Dividend			Sold	08/08/19	J	B	
135. WEC Energy Group Inc Com (WEC)	A	Dividend			Buy	01/17/19	J		
136.					Sold (part)	08/05/19	J	A	

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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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)
137.					Sold	08/08/19	J	B	
138. Western Midstream Partners L P Com Unit Ltd Parnership Int (WES)		None			Sold (part)	03/18/19	J		
139.					Sold	08/08/19	J		
140. Williams Cos Inc Com (WMB)	A	Dividend			Sold	08/08/19	J		
141. Xilinx Inc Com (XLNX)	A	Dividend			Sold (part)	01/17/19	J	A	
142.					Sold	08/08/19	J	C	
143. Digital Rlty Tr Inc Com (DLR)	A	Dividend			Sold	08/08/19	J	A	
144. Miller Convertible Bond Fund Class I (MCIFX)	D	Dividend	N	T	Buy (add'l)	03/18/19	J		
145.					Sold (part)	05/01/19	J		
146.					Buy (add'l)	06/03/19	J		
147. Brokerage Account #1 (H)									
148. Gamco Global Gold, Natural Resources and Income Trust (GGN)	A	Dividend	J	T					
149. Tier REIT I (TIER)	A	Dividend			Merged (with line 150)	06/17/19	J		
150. Cousins PPTYS Inc Com New (CUZ)	A	Dividend	J	T					
151. COLLEGE 529 #1 (H)									
152. American Funds College Enrollment Fund-529A (CENAX)	D	Dividend	M	T	Sold (part)	05/30/19	J	C	

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)					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Name change: Antero Midstream Corp Com (AM) was Antero Midstream Partners LP (AM).

Name change: Western Midstream Partners L P Com Unit Ltd Parnership Int (WES) was Western Gas Partners LP Com Unit (WES).

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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/ Haywood S. Gilliam Jr.

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