

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) Orrick, William H.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 11/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States District Court, Northern District of California 450 Golden Gate Avenue San Francisco CA 94102		
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. Trustee	Trust #1
2. Trustee	Trust #2
3. Co-Trustee	Trust #3
4. Trustee	Trust #4
5. Trustee	Trust #5
6. Trustee	Trust #6

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. 2019	Self-employed artist
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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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. First Republic checking accounts	A	Interest	L	T					
2. Beneficial State Bank (f k a OnePacificCoast Bank) accounts	A	Interest	K	T					
3. Rental property #1, [REDACTED] CA	E	Rent	P1	W					
4. Vanguard Int'l Growth Fund	B	Dividend	M	T					
5. Vanguard Int'l Growth Fund	B	Dividend	M	T					
6. Dodge & Cox Stock Fund	E	Dividend	N	T	Sold (part)	02/04/19	L	E	
7.									
8. 401K #1(H)									
9. - Dodge & Cox Stock Fund	G	Dividend	P1	T					
10. - Fidelity Diversified International Fund	A	Dividend	O	T					
11. - Fidelity 500 Index Fund	E	Dividend	P1	T					
12. - Vanguard Total Bond Market	D	Int./Div.	M	T					
13.									
14. 401k#2(H)									
15. -Vanguard Target 2020 Fund	E	Dividend	O	T					
16. -Vanguard Int'l Growth Fund	C	Dividend	M	T					
17.									

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. Trust #1(H)									
19. -12% interest in rental property #1, [REDACTED], CA.		None	O	W					
20. - General Electric Com	C	Dividend	L	T					
21. - IBM Com	D	Dividend	M	T					
22. - Eli Lilly & Co Com	C	Dividend	M	T					
23. - Merck & Co Com	B	Dividend	L	T					
24. - Pfizer Com	C	Dividend	L	T					
25. - Proctor & Gamble Com	D	Dividend	N	T	Sold (part)	09/10/19	K	E	
26. - Rayonier Com	A	Dividend			Sold	09/10/19	J	C	
27. -Vanguard Index	B	Dividend	L	T					
28. - JM Smucker Com	A	Dividend			Sold	09/10/19	J	C	
29. - First Republic Bank account	A	Interest	J	T					
30.									
31. Trust #2(H)									
32. -3M Co Com	B	Dividend	K	T					
33. - American Express Co Com	A	Dividend	L	T					
34. -AT&T	B	Dividend	K	T					

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35. - Bank of America Com	B	Dividend	M	T					
36. -Bank of New York Mellon Com	B	Dividend	L	T					
37. - BB&T Corp Com	A	Dividend	K	T					
38. - Boston Scientific Corp Com		None	K	T					
39. - Cadence Design System Inc Com		None	L	T					
40. - Capital One Fin'l Corp Com	A	Dividend	L	T					
41. - Charles Schwab Corp	B	Dividend	M	T					
42. - Charter Communications		None	M	T					
43. -Chevron Corp Com	B	Dividend	L	T					
44. -Cisco Systems	B	Dividend	L	T					
45. -Comcast Corp new CLA com	C	Dividend	M	T					
46. - Corning	A	Dividend	K	T					
47. -Corteva	A	Dividend	J	T					
48. -DXC Technology	A	Dividend	J	T					
49. - Diageo PLC Spon ADR New	A	Dividend	K	T					
50. -Dodge and Cox Stock Fund	D	Dividend	N	T					
51. Dow Inc	A	Dividend	K	T					

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	
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52. - Dow DeNemours Inc	A	Dividend	K	T					
53. - Eli Lilly Com	A	Dividend	K	T					
54. - Ericcson L M Tel Co ADR B SEK 10	A	Dividend	J	T					
55. - Fedex Corp Com	B	Dividend	L	T					
56. - Fox Corp	A	Dividend	K	T	Sold (part)	03/19/19	K	E	
57. - General Electric Com	A	Dividend	K	T					
58. -Hewlett Packared Ente	A	Dividend	K	T					
59. - Home Depot Inc Com	B	Dividend	L	T					
60. - HP Inc.	B	Dividend	L	T					
61. - IBM Com	B	Dividend	K	T					
62. - Johnson Controls Interactive	A	Dividend	K	T					
63. - Quarate Retail (f.k.a. Liberty Interactive Corporation Int Com Ser A		None	J	T					
64. - Medtronic, Inc Com	B	Dividend	L	T					
65. - Merck & Co New Com	B	Dividend	L	T					
66. -Micro Focus Int'l	D	Dividend	J	T					
67. - Microsoft Com	C	Dividend	M	T	Sold (part)	07/02/19	J	D	
68. -NetApp	A	Dividend	K	T					

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69. -Novartis ADR	B	Dividend	L	T					
70. - Pfizer Com	C	Dividend	L	T					
71. - Proctor & Gamble Com	B	Dividend	L	T					
72. - Roche Hldg Ltd Spon ADR	B	Dividend	L	T					
73. - Sanofi Spon ADR	B	Dividend	K	T					
74. - Sprint Nextel Corp com ser 1		None			Sold	04/30/19	J	B	
75. - Target Corp Com	A	Dividend	K	T					
76. - TE Connectivity Ltd Reg com shs	B	Dividend	L	T					
77. - Travelers Companies Inc Com	A	Dividend	K	T					
78. -Truist Fin'l Corp	B	Dividend	L	T					
79. - Union Pacific Com	B	Dividend	L	T					
80. - United Health Group	B	Dividend	L	T					
81. - US Bancorp Del com new	A	Dividend	K	T					
82. - Vulcan Materials Co Com	A	Dividend	K	T					
83. - Walmart Stores Inc Com	A	Dividend	K	T					
84. -Walt Disney Cor	A	Dividend	L	T					
85. -Wells Fargo & Co	C	Dividend	M	T					

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86. - Schwab CA Muni Money Fund	A	Interest	J	T					
87.									
88. Trust # 3(H)									
89. - Santa Clara Vy Calif Transn Auth Sales T Sales Tax Rev Bd		None			Matured	04/01/19	K	A	
90. - LA Cty Calif Met Transn Auth S Meas. R senior sales tax bd		None			Matured	07/01/19	K	A	
91. - Santa Clara Ca Uni Sch Dist GO Bds		None			Matured	07/01/19	K	A	
92. - LA Calif Uni Sch Dist GO	A	Interest	K	T					
93. - 3M Co Com	B	Dividend	K	T					
94. - Aegon N V NY Registry sh ADR	A	Dividend	J	T					
95. - American Express Co Com	A	Dividend	K	T					
96. - Berkshire Hathaway Inc Del Cl B new Com		None	K	T					
97. - Capital One Fin'l Corp Com	A	Dividend	L	T					
98. - Charter Communications		None	J	T					
99. - Charles Schwab Corp new com	A	Dividend	L	T					
100. - Chevron Corp Com	B	Dividend	K	T					
101. - Comcast Corp new cl A com	C	Dividend	M	T					
102. -Corteva	A	Dividend	K	T					

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103. -DXC Technology (x)	A	Dividend	K	T					
104. Dodge and Cox Stock Fund	D	Dividend	L	T					
105. - Dow Inc.	B	Dividend	K	T					
106. -Dow DeMours Inc	A	Dividend	K	T					
107. - Ericsson LM Tel Co ADR B sek 10	A	Dividend	J	T					
108. - Exxon Mobil Corp Com	C	Dividend	L	T					
109. - Fedex Corp Com	A	Dividend	K	T					
110. - Fox Corp	A	Dividend	K	T	Sold (part)	03/19/19	K	E	
111. - General Electric Com	A	Dividend	L	T					
112. - HP Inc.	B	Dividend	L	T					
113. -Hewlett Packard Ente	B	Dividend	K	T					
114. -Home Depot Com	C	Dividend	M	T					
115. - Honeywell Int'l Com	B	Dividend	L	T					
116. - HP Inc.	B	Dividend	L	T					
117. - IBM Com	C	Dividend	L	T					
118. - Kimberly Clark Corp Com	A	Dividend	K	T					
119. - Eli Lilly & Co Com	B	Dividend	M	T					

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120. - Medtronic	A	Dividend	L	T					
121. - Merck & Co Com	B	Dividend	L	T					
122. - Microsoft	A	Dividend	L	T					
123. - Novartis AG Spons ADR	B	Dividend	L	T					
124. - Pfizer Com	D	Dividend	M	T					
125. - Proctor & Gamble Co Com	B	Dividend	L	T					
126. - Sanofi Spons ADR	A	Dividend	K	T					
127. - Sprint Nextel Corp com ser 1		None			Sold	04/30/19	J	A	
128. - Target Corp Com	B	Dividend	L	T					
129. - TE Connectivity Ltd Reg Shs Com	B	Dividend	L	T					
130. - Travelers Companies Inc Com	D	Dividend	M	T					
131. - Union Pac Corp Com	C	Dividend	M	T					
132. - Walmart Stores Com	B	Dividend	K	T	Sold (part)	06/03/19	K	D	
133. - Wells Fargo & Co new com	D	Dividend	N	T					
134. - Schwab CA Muni Money Fund	A	Dividend	K	T					
135.									
136. TIAA-CREF: Cref Stock Fund		None	K	T					

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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Name of Person Reporting

Orrick, William H.

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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. TIAA Traditional Annuity		None	J	T					
138.									
139. Trust #4 : Dodge & Cox Stock Fund	F	Dividend	N	T	Sold (part)	11/05/19	K	E	
140. Trust #5: Dodge & Cox Stock Fund	G	Dividend	P1	T					
141. Trust #6: Dodge & Cox Stock Fund	F	Dividend	O	T	Sold (part)	01/02/19	J	A	
142.					Sold (part)	02/01/19	J	A	
143.					Sold (part)	03/01/19	J	A	
144.					Sold (part)	04/01/19	J	A	
145.					Sold (part)	04/17/19	K	D	
146.					Sold (part)	04/25/19	K	D	
147.					Sold (part)	05/01/19	J	A	
148.					Sold (part)	06/01/19	J	A	
149.					Sold (part)	07/01/19	J	A	
150.					Sold (part)	08/01/19	J	A	
151.					Sold (part)	09/01/19	J	A	
152.					Sold (part)	10/01/19	J	A	
153.					Sold (part)	11/01/19	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		

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)
154.					Sold (part)	12/01/19	J	A	
155.									
156. Orphagen Pharmaceuticals preferred shares		None	J	W					

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

In Part VII, I have listed Rental Property #1 twice, in lines 3 and 19. 12% of the property is held in Trust #1 (line 19), and 21 1/3% is owned by me separately (line 3), and the gross values of those percentage interests are estimated accordingly. Rental Property #1 is rented--my share of the gross rent is reflected on line 3.

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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/ **William H. Orrick**

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