

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) van Keulen, Susan	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 08/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (FT)	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 280 S. 1st Street San Jose, CA 55113		
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.	
3.	
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 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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. 2019	(salary)
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.				

Name of Person Reporting van Keulen, Susan	Date of Report 08/04/2020
---	------------------------------

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.		

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 Accts (H)									
2. Bank of America (cash)	A	Interest	M	T					
3. Citibank (cash)	A	Interest	J	T					
4. Vanguard Growth Index Fund Adm (VIGAX)	A	Dividend	J	T					
5. ██████████, PC		None	L	U					
6. Amersfoort Company	D	Distribution	L	U					
7. Gunter Building, LLC (Y)									
8. HSA (cash)	A	Interest	K	T					
9. Trust Account #1 (H)									
10. Nike Inc (NKE) (Y)									
11. Trust Account #2 (H)									
12. Schwab Cash Reserves (SWSXX)	A	Dividend			Redeemed	03/25/19	M		
13. Schwab Govt Money Fund (SWGXX)	A	Dividend	L	T	Buy	03/25/19	M		
14. Invesco Db Base Metals ETF (DBB)	A	Dividend			Sold (part)	04/30/19	K		
15.					Sold	10/15/19	J		
16. Invesco Db Energy ETF (DBE)	A	Dividend	J	T					
17. Invesco DB Oil ETF (DBO)	A	Dividend			Sold	10/15/19	J		

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

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. IShares Gold ETF (IAU)		None	J	T	Sold (part)	04/30/19	K		
19. IShares MSCI EAFE Growth ETF (EFG)	A	Dividend	J	T					
20. Schwab US Broad Mkt ETF (SCHB)	C	Dividend	M	T					
21. Vanguard Real Estate (VNQ)	A	Dividend	K	T	Buy	07/16/19	K		
22. Vanguard Small Cap Growth ETF (VBK)	A	Dividend	L	T					
23. Vanguard Ca Inter Term Tax Exempt Fd Adm (VCADX)	C	Dividend	M	T	Buy (add'l)	04/30/19	K		
24. Vanguard CA Long Term (VCLAX)	B	Dividend	L	T	Buy	04/09/19	K		
25.					Buy (add'l)	04/30/19	K		
26. Lazard Intl Equity Portfolio Inst Shares (LZIEX)	A	Dividend	J	T					
27. Parnassus Core Equity Fd I (PRILX)	D	Dividend	L	T	Buy (add'l)	04/09/19	K		
28.					Buy (add'l)	10/15/19	K		
29. Schwab Core Equity Fund (SWANX)	B	Dividend	L	T					
30. Schwab Dividend Equity Fund (SWDSX)	A	Dividend			Sold (part)	07/16/19	J	B	
31.					Sold	10/15/19	K	B	
32. Schwab Fundamental US Large Co Index (SFLNX)	B	Dividend	K	T	Sold (part)	04/09/19	J	D	
33. Schwab Fundamental US Small CO Index (SFSNX)	B	Dividend	K	T	Sold (part)	04/09/19	J	C	
34.					Buy (add'l)	10/15/19	K		

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 6 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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. Schwab Small-Cap Equity Fund (SWSCX)		None			Buy (add'l)	04/09/19	J		
36.					Sold (part)	07/16/19	J	A	
37.					Sold	10/15/19	K		
38. Trust Account #3 (H)									
39. Charles Schwab Deposit Account (Cash)	A	Interest	N	T					
40. Apple Stock (APL)	C	Dividend	N	T					
41. Berkshire Hathaway, Class B Stock (BRKB)		None	M	T					
42. DowDupont Inc. (DWDP)	A	Dividend			Sold	05/06/19	K		
43. Dow Inc. (DOW)		None			Spinoff (from line 42)	04/01/19	K		
44.					Sold	05/06/19	K		
45. Home Depot (HD)	C	Dividend	M	T					
46. PayPal Holdings Incorpor (PYPL)		None			Buy	05/06/19	M		
47.					Sold	06/21/19	M		
48. Travelers Companies Group (TRV)	B	Dividend			Sold	12/20/19	M	D	
49. UnitedHealth Group (UNH)	C	Dividend	N	T					
50. First Trust US Equity Opportunity ETF (FPX)	A	Dividend			Buy	06/21/19	M		
51.					Sold	12/20/19	M	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)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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. IRA #1 (H)									
53. JP Morgan INCM (JMSIX)	A	Dividend	K	T	Buy	06/13/19	K		
54.					Buy (add'l)	10/15/19	K		
55. Baird Core Plus Bd Inst (BCOIX)	A	Dividend			Sold	04/09/19	K	A	
56. PGIM High Yield Fund Cl Z (PHYZX)	A	Dividend			Sold	04/09/19	J		
57. Pimco Incm Inst Cl (PIMIX)	A	Dividend			Sold	10/15/19	K		
58. AMG Timesquare Intl Sm Cap Fd I (TQTIX)	A	Dividend	K	T					
59. Fidelity Adv Intl Real Estate Fd Cl A (FIRAX)	A	Dividend	K	T					
60. Fidelity Adv Real Estate Income Fd Cl I (FRIRX)	C	Dividend	L	T					
61. Janus Henderson Small Cap Value I (JSCOX)	A	Dividend	K	T					
62. JPMorgan INCM (JGIAX)	A	Dividend			Buy	04/09/19	K		
63.					Sold	06/13/19	K		
64. Lazard Intl Equity Portfolio Inst Shares (LZIEIX)	A	Dividend	J	T					
65. Parnassus Core Equity Fd Inst (PRILX)	C	Dividend	K	T					
66. IRA #2 (H)									
67. Schwab Cash Reserves (SWSXX)	A	Dividend			Redeemed	01/14/19	J		
68. Schwab Govt Money Fund (SWGXX)	A	Dividend	J	T	Buy	01/15/19	J		

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)					

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)
69. Invesco QQQ Trust (QQQ)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
70.					Sold (part)	01/09/19	J		
71.					Buy (add'l)	05/06/19	J		
72.					Buy (add'l)	11/06/19	J		
73. Invesco S&P Low Volatility ETF (SPLV)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
74.					Sold (part)	11/06/19	J	A	
75. Invesco Variable Rate Preferred ETF (VRP)	A	Dividend	J	T	Buy	11/06/19	J		
76. IShare Edge MSCI Min Vol EAFE ETF (EFAV)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
77. IShares Broad USD HG Yld (USHY)	A	Dividend	J	T	Buy	08/05/19	J		
78. IShares Commodities Select Strtgy ETF (COMT)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
79.					Sold (part)	01/09/19	J		
80.					Sold (part)	04/02/19	J		
81.					Buy (add'l)	08/05/19	J		
82.					Buy (add'l)	09/05/19	J		
83.					Sold (part)	12/04/19	J		
84. IShares Core S&P Small Cap (IJR)	A	Dividend	J	T	Buy	12/04/19	J		
85. Ishares Currency Holding MSCI Eurzn (HEZU)	A	Dividend	J	T	Buy	10/02/19	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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)
86. IShares Core US Aggregate Bond ETF (AGG)	A	Dividend			Buy (add'l)	01/07/19	J		
87.					Buy (add'l)	02/04/19	K		
88.					Sold (part)	03/05/19	J	A	
89.					Sold (part)	05/06/19	K	A	
90.					Sold	07/02/19	K	A	
91.					Buy	09/05/19	J		
92.					Sold	10/02/19	J		
93. IShares Core 1-5 Yr USD Bd ETF (ISTB)	A	Dividend			Sold	07/02/19	J	A	
94. IShares Gold ETF (IAU)		None	K	T	Buy (add'l)	04/02/19	J		
95.					Buy (add'l)	12/04/19	J		
96. IShares IBOXX High Yield Bond ETF (HYG)	A	Dividend			Sold	06/04/19	J		
97. IShares JPMorgan USD Mts Bond ETF (EMB)	A	Dividend	J	T	Buy (add'l)	02/04/19	J		
98.					Sold (part)	09/05/19	J	A	
99. IShares Russell 2000 ETF (IWM)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
100. IShares TIPS Bond ETF (TIP)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
101.					Sold (part)	11/06/19	J	A	
102. IShares 1-3 Yr Treasury Bond ETF (SHY)	A	Dividend			Buy (add'l)	01/07/19	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 10 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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)
103.					Sold	02/04/19	K	A	
104. IShares 20 Pls Yr Treasury Bnd ETF (TLT)	A	Dividend	J	T	Buy (add'l)	06/04/19	J		
105.					Sold (part)	08/05/19	J	A	
106.					Buy (add'l)	10/02/19	K		
107.					Sold (part)	11/06/19	K	A	
108. Pimco 0-5 Year High Yld Bnd ETF IV (HYS)	A	Dividend			Buy	02/04/19	J		
109.					Sold	05/06/19	J	A	
110. Pimco Enhanced Shrt Maturty Actv ETF (MINT)	A	Dividend			Buy (add'l)	01/07/19	J		
111.					Sold	03/05/19	K		
112. Select Sector Health Care SPDR ETF (XLV)	A	Dividend			Buy (add'l)	01/07/19	J		
113.					Sold	10/02/19	J		
114. SPDR Bloomberg BRCLY Intl (BWX)	A	Dividend			Buy	01/09/19	J		
115.					Sold	05/06/19	J		
116. SPDR Fund Consumer Staples ETF (XLP)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
117. SPDR S&P 500 ETF (SPY)	A	Dividend	L	T	Buy (add'l)	01/07/19	J		
118.					Buy (add'l)	05/06/19	K		
119.					Buy (add'l)	07/02/19	J		

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 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 11 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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)
120. Vanguard Consumer Discretionary ETF (VCR)	A	Dividend	J	T	Buy (add'l)	01/07/19	J		
121. Vanguard Dividend Appreciation ETF (VIG)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
122.					Sold (part)	11/06/19	J	A	
123. Vanguard FTSE Developed Mkts ETF (VEA)	B	Dividend	L	T	Buy (add'l)	01/07/19	J		
124.					Buy (add'l)	01/09/19	J		
125.					Sold (part)	05/06/19	J		
126.					Sold (part)	08/05/19	J		
127.					Sold (part)	11/06/19	J		
128. Vanguard FTSE Emerging Mkts ETF (VWO)	B	Dividend	K	T	Buy (add'l)	01/07/19	J		
129.					Buy (add'l)	03/05/19	K		
130.					Sold (part)	04/02/19	J	A	
131.					Sold (part)	05/06/19	J		
132.					Buy (add'l)	07/02/19	K		
133.					Sold (part)	09/05/19	J		
134.					Buy (add'l)	11/06/19	J		
135. Vanguard FTSE Europe (VGK)	A	Dividend	J	T	Buy	04/02/19	J		
136.					Buy (add'l)	05/06/19	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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)
137.					Sold (part)	09/05/19	J		
138. VANGUARD FTSE PACIFIC (VPL)	A	Dividend			Buy	09/05/19	J		
139.					Sold	10/02/19	J		
140. Vanguard Global Ex US Real Estate (VNQI)	A	Dividend	J	T	Buy	09/05/19	J		
141. Vanguard Intermediate Term Cor (VCIT)	A	Dividend			Buy	05/06/19	J		
142.					Sold	08/05/19	J	A	
143. Vanguard Real Estate (VNQ)	A	Dividend	K	T	Buy	03/05/19	K		
144.					Sold (part)	04/02/19	J	A	
145.					Buy (add'l)	07/02/19	J		
146.					Buy (add'l)	09/05/19	J		
147. Vanguard Short Term Treasury ETF (VGSH)	A	Dividend			Buy (add'l)	01/07/19	J		
148.					Buy (add'l)	01/09/19	J		
149.					Sold (part)	02/04/19	K	A	
150.					Sold	03/05/19	K	A	
151. Vanguard Total Stock Market ETF (VTI)	A	Dividend	K	T	Buy (add'l)	01/07/19	J		
152.					Sold (part)	01/09/19	J		
153.					Buy (add'l)	03/05/19	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 13 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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)
154.					Buy (add'l)	04/02/19	J		
155.					Sold (part)	09/05/19	J	A	
156. IRA #3 (H)									
157. RBC Money Mkt Obligs Tr Federated Prime Obligs Fd	A	Dividend	J	T					
158. Alger Fds II Spectra Fd Cl Z (ASPZX)	C	Dividend	L	T	Sold (part)	03/29/19	K	A	
159. Alger Small Cap Focus Fund Cl Z (AGOZX)	A	Dividend	K	T	Buy (add'l)	03/29/19	J		
160. IShares U S Medical Devices ETF (IHI)	A	Dividend	J	T	Buy	03/29/19	J		
161. JP Morgan Diversified Mid Cap Growth Fd Cl I (HLGEX)	C	Dividend	K	T	Buy (add'l)	03/29/19	J		
162. JP Morgan Tr II Equity Income Fd Cl I (HLIEX)	C	Dividend	M	T	Buy (add'l)	03/29/19	K		
163. Select Sector SPDR Trust (XLU)	A	Dividend	K	T	Buy	03/29/19	J		
164.					Buy (add'l)	06/04/19	J		
165. SPDR Ser TR S&P Biotech ETF (XBI)	A	Dividend	J	T	Buy	03/29/19	J		
166. Artisan Partners Fds Inc Int'l Value Fd Adv (APDKX)		None			Sold	03/29/19	K		
167. Vanguard Mid Cap Value Index Fund Admiral (VMVAX)	A	Dividend	K	T	Buy (add'l)	03/29/19	J		
168. IRA #4 (H)									
169. Fidelity Govt Money Market (SPAXX)	A	Dividend	K	T					
170. Fidelity Intl Growth Fund (FIGFX)	A	Dividend	L	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		

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)
171. Fidelity OTC Port (FOCPX)	E	Dividend	N	T					
172. Fidelity Blue Chip Growth (FBGRX)	D	Dividend	N	T					
173. Fidelity Small Cap Growth (FCPGX)	E	Dividend	N	T					
174. Fidelity Select Constructn & Housing (FSHOX)	F	Dividend	N	T					
175. Buffalo Discovery Fund (BUFTX)	E	Dividend	M	T					
176. Conestoga Small Cap Investor Class (CCASX)	C	Dividend	M	T					
177. T Rowe Price Blue Chip Growth Inc (TRBCX)	B	Dividend	N	T					
178. William Blair Intnat Leaders Fund Cl N (WILNX)	A	Dividend	L	T					
179. Fidelity Capital & Income (FAGIX)	D	Dividend	M	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		

FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting van Keulen, Susan	Date of Report 08/04/2020
--	---

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.

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

van Keulen, Susan

Date of Report

08/04/2020

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/ Susan van Keulen**

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