

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 1998

Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C. App. 4, 101-112)

1. Person Reporting (Last name, first, middle initial)		2. Court or Organization	3. Date of Report
HAMILTON, PHYLLIS J.		Northern District of California	2-14-00
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5. ReportType (check appropriate type)	6. Reporting Period	
District Judge - Nominee	X Nomination, Date 2-9-00 Initial Annual Final	1/1/98 - 1/31/00	
7. Chambers or Office Address	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.		
450 Golden Gate Avenue San Francisco, CA 94102	Reviewing Officer Date		

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
XX NONE (No reportable positions.)	
1	
2	
3	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
XX NONE (No reportable agreements.)	
1	
2	
3	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME (yours, not spouse's)
XX NONE (No reportable non-investment income.)		
1		
1999	Oakland City Attorney's Office (S)	\$
2		\$
3		\$
4		\$
5		\$

IV. REIMBURSEMENTS – transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

SOURCE

DESCRIPTION

NONE (No such reportable reimbursements.)

1

EXEMPT

2

3

4

5

6

7

V. GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 of Instructions.)

SOURCE

DESCRIPTION

VALUE

NONE (No such reportable gifts.)

1

EXEMPT

\$

2

\$

3

\$

4

\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate, where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

NONE (No reportable liabilities.)

1

Wells Fargo Bank

Equity line account

J

2

GMAC Mortgage Corp.

Mortgage on Rental Prop. #1
Oakland, CA (Pt. VII, Line 4)

M

3

First Nationwide (S)

Mortgage on Rental Prop. #2
Oakland, CA (Pt. VII, Line 5)

M

4

Washington Mutual (S)

Mortgage on Rental Prop. #3
Oakland, CA (Pt. VII, Line 6)

M

5

Carl Pierson (S)

Mortgage on Rental Proper#3
Oakland, CA (Pt. VII, Line 6)

M

6

*Value Codes

J=\$15,000 or less

K=\$15,001-\$50,000

L=\$50,001-\$100,000

M=\$100,001-\$250,000

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=\$50,000,001 or more

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A. Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
NONE (No reportable income, assets, or transactions.)									
1 T Rowe Price - stock (S)	A	DIV	J	T	EXEMPT				
2 General Electric stock (S)	A	DIV	J	T	EXEMPT				
3 SBC Communications stock (S)	A	DIV	J	T	EXEMPT				
4 Clorox stock (S)	A	DIV	J	T	EXEMPT				
5 TriContinental stock (S)	A	DIV/CAP	J	T	EXEMPT				
6 DEFERRED COMPENSATION MUTUAL FUNDS:									
7 Vanguard Institutional Index (S)	A	DIV	J	T	EXEMPT				
8 Janus Worldwide (S)	A	DIV	J	T	EXEMPT				
9 Ariel Capital Appreciation (S)	A	DIV	J	T	EXEMPT				
10 Harbor Bond Fund (S)	A	DIV	J	T	EXEMPT				
11 Dreyfus Intermediate Bd (S)	A	DIV	J	T	EXEMPT				
12 RETIREMENT ACCOUNTS: Charles Schwab IRA Rollover									
13 America On Line-stock (S)	A	NONE	J	T	EXEMPT				
14 Cisco Systems-stock (S)	A	NONE	J	T	EXEMPT				
15 Caterpillar -stock (S)	A	DIV	J	T	EXEMPT				
16 Clorox - stock (S)	A	DIV	J	T	EXEMPT				
17 Compaq- stock (S)	A	DIV	J	T	EXEMPT				
18 Eastman Kodak-stock (S)	A	DIV	J	T	EXEMPT				
1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) N=\$250,001-\$500,000 K=\$15,001-\$50,000 O=\$500,001-\$1,000,000 L=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 M=\$100,001-\$250,000 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 (See Col. C2) U=Book value R=Cost (real estate only) S=Assessment V=Other T=Cash/Market W=Estimated									

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child. Place "(X)" after each asset exempt from prior disclosure.</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g. div. rent or int.)	Value Code2 (I-P)	Value Method Code3 (Q-W)	Type (e.g. buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1 General Electric-stock (S)	A	DIV	J	T	EXEMPT				
2 Intel Corp-stock (S)	A	DIV	J	T	EXEMPT				
3 Johnson & Johnson-stock(S)	A	DIV	J	T	EXEMPT				
4 MCI Worldcom-stock (S)	A	DIV	J	T	EXEMPT				
5 Microsoft-stock (S)	A	NONE	J	T	EXEMPT				
6 Proctor & Gamble-stock (S)	A	DIV	J	T	EXEMPT				
7 Schering & Plough-stock(S)	A	DIV	J	T	EXEMPT				
8 Sears Roebuck & Co-stock(S)	A	DIV	J	T	EXEMPT				
9 TRI Continental Corp-stock (S)	A	DIV	J	T	EXEMPT				
10 PE-Celera-stock (S)	A	NONE	J	T	EXEMPT				
11 Vanguard Small Cap Index(S) mutual fund	A	Div/Cap Gain	J	T	EXEMPT				
12 Vanguard Index 500 (S) mutual fund	B	Div/Cap Gain	K	T	EXEMPT				
13 Vanguard Growth Index (S) mutual fund	A	Div/Cap Gain	K	T	EXEMPT				
14 Fasciano Fund (S) mutual fund	A	Div/Cap Gain	J	T	EXEMPT				
15 Janus Overseas - mutual fund (S)	A	Div/Cap Gain	K	T	EXEMPT				
16 Templeton Growth -mutual fund (S)	A	Div/Cap Gain	J	T	EXEMPT				
17 Vanguard Total Bond Index(S) mutual fund	A	DIV	K	T	EXEMPT				
18 Fidelity Select Technology(S) mutual fund	A	DIV/CAP	J	T	EXEMPT				

1

Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) 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: Q=Appraisal (See Col. C2) U=Book value

R=Cost (real estate only) V=Other

S=Assessment W=Estimated

T=Cash/Market

FINANCIAL DISCLOSURE REPORT

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-34 of Instructions.)

A. Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.) CHARLES SCHWAB IRA									
1 Janus Mercury Fund (S) mutual fund	A	DIV/CAP	J	T	EXEMPT				
2 Schwab 1000 Fund (S) mutual fund	A	DIV/CAP	J	T	EXEMPT				
3 Exodus Communications (S) Stock	NONE	N/A	J	T	EXEMPT				
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									

1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, D3) 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

3 Value Method Codes: Q=Appraisal (See Col. C2) U=Book value

R=Cost (real estate only) V=Other

S=Assessment W=Estimated

T=Cash/Market

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 1998Report Required by the Ethics
Reform Act of 1989, Pub. L. No.
101-194, November 30, 1989
(5 U.S.C. App. 4, 101-112)

1. Person Reporting (Last name, first, middle initial) HAMILTON, PHYLLIS J.	2. Court or Organization NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report May 5, 1999
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) MAGISTRATE JUDGE - Full-time	5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual _____ Final _____	6. Reporting Period 1/1/98 - 12/31/98
7. Chambers or Office Address 450 Golden Gate Avenue San Francisco, CA 94102	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY

☐ XXX

NONE (No reportable positions.)

1

2

3

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE

PARTIES AND TERMS

☐ XXX

NONE (No reportable agreements.)

1

2

3

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME
(yours, not spouse's)☐ XXX

NONE (No reportable non-investment income.)

1

\$

2

\$

3

\$

4

\$

5

\$

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting PHYLLIS J. HAMILTON	Date of Report may 5, 1999
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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate reportable reimbursements received by spouse and dependent children, respectively. See pp. 25-28 of Instructions.)

SOURCE DESCRIPTION

XXX

NONE (No such reportable reimbursements.)

1		
2		
3		
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children; use the parentheticals "(S)" and "(DC)" to indicate gifts received by spouse and dependent children, respectively. See pp. 29-32 of Instructions.)

SOURCE DESCRIPTION VALUE

XXX

NONE (No such reportable gifts.)

1		\$
2		\$
3		\$
4		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; indicate, where applicable, person responsible for liability by using the parenthetical "(S)" for separate liability of the spouse, "(J)" for joint liability of reporting individual and spouse, and "(DC)" for liability of a dependent child. See pp. 33-35 of Instructions.)

CREDITOR DESCRIPTION VALUE CODE*

XXX

NONE (No reportable liabilities.)

1		
2		
3		
4		
5		
6		

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 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=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 36-54 of Instructions.)

A Description of Assets (including trust assets) <i>Indicate, where applicable, owner of the asset by using the parenthetical "(J)" for joint ownership of reporting individual and spouse, "(S)" for separate ownership by spouse, "(DC)" for ownership by dependent child.</i> <i>Place "(X)" after each asset exempt from prior disclosure.</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions.)									
1Lincoln National Life Insurance Co. - IRA	C	INT	L	T	NONE				
2Stage Coach Equity Value Fund - IRA	A	DIV			Sell 11/98 J (Rollover from)				
3Massachusetts Mutual Life Insurance Co. - IRA	A	DIV	J	T	Buy 11/98 J (Rollover to)				
4Stage Coach Tax Free Money Market - Mutual Fund	A	DIV	J	T	NONE				
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									
16									
17									
18									

1

Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4); 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: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001-\$100,000; M=\$100,001-\$250,000; 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; U=Book value; V=Other; W=Estimated

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

PHYLLIS J. HAMILTON

Date of Report

May 5, 1999

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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. 4, § 501 et. seq., 5 U.S.C. § 7353 and Judicial Conference regulations.

Signature 

Date May 5, 1999

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App. 4, § 104.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544