

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) Illston, Susan Y.	2. Court or Organization U.S. District Court, N.D. Cal.	3. Date of Report 07/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge- Senior	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 U.S. District Court 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. Board of Governors	Association of Business Trial Lawyers, Northern California
2. Custodian	Family Insurance Policies
3. Custodian	Family Annuities
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.	Duke Law Bolch Judicial Institute	6/18/19-6/20/19	Washington, D.C.	Educational seminar or program	Travel, food, and lodging reimbursement
2.	San Francisco Intellectual Property Law Association	9/20/19-9/22/19	Calistoga, CA	Educational seminar or program	Food and lodging reimbursement
3.	The Sedona Conference	11/16/19-11/23/19	County Kildare, Ireland	Educational seminar or program	Travel, food, and lodging reimbursement
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) 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. I. Schwab IRA #1 (H)									
2. -Aberdeen Emerging Markets Fund		None			Sold	10/07/19	K	E	
3. -Akre Focus Fund		None			Sold	10/03/19	K	D	
4. -Alphabet, Inc.		None	K	T					
5. -Capital One	A	Dividend	K	T					
6. -Citigroup		None	J	T	Buy	02/11/19	J		
7.					Buy (add'l)	03/21/19	J		
8. -Comcast	A	Dividend	K	T	Sold (part)	07/12/19	K	C	
9.					Sold (part)	07/23/19	K	B	
10. -CVS Corp.		None	J	T	Buy	05/23/19	J		
11. -Devon Energy		None	K	T	Sold (part)	07/25/19	J	E	
12. -DFA Emerging	A	Dividend	K		Buy	10/07/19	K		
13. -DFA Int'l	A	Dividend	K		Buy	10/04/19	K		
14. -DFA U.S.	B	Dividend	L		Buy	10/03/19	L		
15. -Dodge & COX Income Fund	B	Dividend	L	T					
16. -Dodge & COX International		None	L	T					
17. -Dodge & COX Stock Fund	A	Dividend	K	T	Buy	09/12/19	K		

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. -FedEx Corp.		None	K	T	Buy	05/29/19	J		
19.					Buy (add'l)	06/13/19	J		
20.					Buy (add'l)	08/05/19	K		
21.					Buy (add'l)	10/02/19	K		
22. -First Eagle Overseas	A	Dividend	K	T	Buy	01/31/19	K		
23.					Buy (add'l)	10/17/19	K		
24. -General Motors	A	Dividend	J	T					
25. -Goldman Sachs Group	A	Dividend			Sold (part)	08/23/19	J	A	
26.					Sold	11/22/19	J	A	
27. -Goldman Sachs MLP Energy	A	Dividend	K	T	Buy	10/17/19	K		
28. -GS Bond Inst	B	Dividend	L	T					
29. -Halliburton		None			Sold	10/17/19	J	A	
30. -Harbor Cap Appreciation Fund		None			Sold	10/02/19	K	D	
31. -Intel		None			Buy	05/23/19	J		
32.					Sold	09/12/19	J	B	
33. -Ishares Biotech Fund		None	K	T					
34. -JPM Int'l Unconstrained Fund		None			Sold	10/03/19	K	A	

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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	
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35. -Johnson & Johnson	B	Dividend	K	T					
36. -Matthews Asia Growth Fund		None			Sold	10/17/19	J	A	
37. -Matthews Pacific Tiger Fund		None	K	T					
38. -Metlife	A	Dividend	J	T	Sold (part)	03/19/19	J	A	
39.					Sold (part)	08/23/19	J	A	
40. -Microsoft	A	Dividend	K	T	Sold (part)	04/26/19	K	C	
41. -Oaktree Cap. Group	A	Dividend			Sold (part)	03/15/19	J	D	
42.					Sold	03/25/19	J	D	
43. -Oracle Corp.	A	Dividend	J	T	Sold (part)	03/04/19	J	C	
44.					Sold (part)	05/31/19	J	A	
45. -Osterweis Strategic Inc. Fund	B	Dividend	K	T					
46. -Schlumberger LTD	A	Dividend	K	T	Buy (add'l)	10/17/19	K		
47. -Schwab Advisor Standard (Cash)	A	Dividend	K	T					
48. -Schwab Short Term Treas.		None	J	T	Sold (part)	12/19/19	J	E	
49. -Schwab Value Adv. Fund	A	Dividend			Buy (add'l)	05/07/19	K		
50.					Sold	10/17/19	K	E	
51. -Vanguard Energy Fund	A	Dividend	K	T					

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52. -Volkswagen	A	Dividend	K	T					
53. -Walt Disney	A	Dividend	K	T	Buy (add'l)	03/07/19	K		
54. -Weyerhaeuser Co.	A	Dividend	J	T	Buy (add'l)	05/23/19	J		
55. -Wells Fargo & Co.	B	Dividend	K	T					
56. II. Schwab Brokerage Acct. (H)									
57. -Allergan Inc.	A	Dividend			Sold	07/25/19	K	E	
58. -Alps Alerian MLP	B	Dividend			Sold	10/17/19	K	B	
59. -Apple Computer	A	Dividend	K	T					
60. -Applied Materials	A	Dividend	J	T	Buy	05/31/19	J		
61. -Baron Emerg. Mrkt.	A	Dividend	K	T					
62. -Citigroup Inc.	A	Dividend	J	T	Buy	01/11/19	J		
63. -CVS Health Corp.	A	Dividend	K	T	Buy (add'l)	02/22/19	K		
64. -General Motors	A	Dividend	J	T					
65. -Intel Corp	A	Dividend	J	T	Sold (part)	09/12/19	J	B	
66. -Ishares Global Timber		None			Sold	02/01/19	J	B	
67. -Kinder Morgan Inc.	A	Dividend	K	T					
68. -Lennar Corp.		None			Buy	07/25/19	J		

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69.					Sold	10/10/19	J	B	
70. -Metlife	A	Dividend	J	T					
71. -Molson Coors Brewing	A	Dividend			Sold	10/04/19	J	A	
72. -Pear Tree Polaris	A	Dividend	K	T					
73. -Qualcomm	A	Dividend	J	T	Sold (part)	01/23/19	J	C	
74. -Schwab Value Adv. Money Fund		None	L	T	Buy (add'l)	11/18/19	L		
75. -Schwab S.T. U.S. Treasury		None	K	T	Sold (part)	02/19/19	K	D	
76. -Van Eck Vectors Gold Miners	A	Dividend	K	T					
77. -Weyerhaeuser Co.	A	Dividend	K	T	Buy (add'l)	02/01/19	J		
78. III. Schwab IRA #2 (H)									
79. -Apple Computer	A	Dividend	K	T	Sold (part)	08/23/19	K	D	
80.					Sold (part)	11/20/19	K	D	
81. -Baird Core Plus Bond Indust	B	Dividend	K	T					
82. -Baron Emerging Markets		None	K	T					
83. -Schwab Cash Reserves Money Market Account	A	Dividend	J	T					
84. -Schwab S.T. U.S. Treasury	A	Dividend			Buy	08/30/19	L		
85.					Sold	09/06/19	L	A	

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86. -Schwab Value Adv. Money Fd		None	J	T					
87. -T Rowe Price Inst.	B	Dividend			Sold	08/29/19	L	D	
88. -Vanguard Shrt Inf	A	Dividend	L	T	Buy	09/06/19	L		
89. IV. Schwab Living Trust (H)									
90. -DOMIX	C	Dividend	L	T					
91. -DSI	E	Dividend	L	T					
92. -PARMX	D	Dividend	K	T					
93. -PRBLX	D	Dividend	L	T					
94. -PXWIX	D	Dividend	L	T					
95. -Schwab Value Adv. Money Fund		None	K	T	Buy	05/07/19	K		
96. -SWZXX (Cash Reserves Money Market Fund)		None	J	T					
97. -VFTSX	E	Dividend	L	T					
98. Citibank Account	A	Interest	N	T					
99. Northwestern Mutual Life Insurance Assets (H)									
100. -Northwestern Mutual Life Annuity, fixed	A	Interest	M	T					
101. -Northwestern Mutual Life Family's Insurance, whole life		None	N	T					
102. -Northwestern Mutual Life Family's Annuities, fixed	D	Distribution	L	T					

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103. -Northwest Mutual Life Insurance Trust		None	P1	T					
104. Chase Bank Accounts	A	Interest	O	T					
105. Wells Fargo Bank Accounts	A	Interest	M	T					
106. Provident Federal Credit Union	A	Interest	O	T					
107.									

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

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

Part VII: In the 2018 report, line 17, General Electric was reported as sold in part on 12/14/18. This should have been reported as sold in full.

Part VII: In the 2018 report, line 72, Goldman Sachs Group was reported in error and has been deleted from the 2019 report.

Part VII: In the 2018 report, line 88, Volkswagen was reported in error and has been deleted from the 2019 report.

Part VII, line 103: Northwest Mutual Life Insurance Trust-- no reportable assets in the trust.

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07/30/2020

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 Y. Illston**

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
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Washington, D.C. 20544