

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Tigar, Jon S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 06/13/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court 1301 Clay Street Oakland, CA 94612		
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. Director	Living Trust #1
2. Director	Irrevocable Trust #2
3. Director	Irrevocable Trust #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.	

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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. 2020	Matthew Bender - Royalties	\$2,036.78
2. 2020	California State Judges Retirement System II - Interest	\$3,548.15
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. 2020	The Durfee Foundation - 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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. Fifth Third Bank, N.A.	Mortgage on Rental Property #1, Berkeley, CA (Part VII, line	N
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. TIAA-CREF Traditional Annuity		None			Closed	09/01/20	J		
2.									
3. Individual Account (H)									
4. - Vanguard FTSE All-World ex-US Index Fund	B	Dividend	N	T					
5. - Vanguard Global ex-US Real Estate Index Fund Admiral	A	Dividend	L	T					
6. - Vanguard Real Estate Index - Admiral	A	Dividend	K	T					
7. - Vanguard Short-Term Investment Grade Fund	B	Dividend	M	T					
8.									
9. Rollover IRA (H)									
10. - DFA Commodity Strategy Portfolio	A	Dividend	L	T					
11. - DFA Emerging Markets Portfolio	A	Dividend	K	T					
12. - DFA Global Real Estate Security Port Institutional	C	Dividend	M	T	Buy (add'l)	05/04/20	L		
13. - DFA International Small Company Portfolio	A	Dividend	K	T					
14. - IndexIQ Merger Arbitrage ETF		None	M	T	Buy (add'l)	05/04/20	L		
15. - iShares Short Term Corporate Bond ETF	D	Dividend	N	T					
16. - PIMCO Stocksplus Intl Fd Usd Hedged A	B	Dividend	M	T					
17. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T	Sold (part)	05/04/20	L		

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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☐ NONE (No reportable income, assets, or transactions.)

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18. - Thompson Bond Fund (X)	C	Dividend	L	T					
19.									
20. Living Trust #1 (H)									
21. - IndexIQ Merger Arbitrage ETF		None	N	T					
22. - Fidelity CA Ltd Term Tax Free Bond Fund	C	Dividend	M	T					
23. - Vanguard CA Inter Term Tax-Exempt Fund Admiral Shares	C	Dividend	M	T					
24. - Vanguard Short-Term Investment-Grade Fund	D	Dividend	N	T					
25. - Artisan Global Opportunities Fund	E	Distribution	N	T					
26. - DFA Commodity Strategy Portfolio	A	Dividend	L	T					
27. - DFA Emerging Markets Portfolio	C	Dividend	N	T					
28. - DFA Global Real Estate Security Port Institutional	D	Dividend	N	T					
29. - DFA International Small Company Portfolio	C	Dividend	M	T					
30. - Oakmark Global Fund	A	Dividend	L	T					
31. - PRIMECAP Odyssey Aggressive Growth Fund	E	Distribution	N	T					
32. - Vanguard Dividend Appreciation Index Fund	C	Dividend	M	T					
33. - Vanguard FTSE All-World ex-US Index Fund	D	Dividend	N	T					
34. - Vanguard Mid-Cap Index Fund	C	Dividend	N	T					

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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. - Vanguard Small-Cap Growth Index Fund	A	Dividend	M	T					
36. - Rental Property #1, Berkeley, CA	C	Rent	O	R					
37.									
38. Living Trust #2 (H)									
39. - Avery Dennison Corp Common Stock	E	Dividend	P1	T					
40. - IndexIQ Merger Arbitrage ETF		None	L	T					
41. - DFA Commodity Strategy Portfolio	A	Dividend	L	T					
42. - DFA Emerging Markets Portfolio	A	Dividend	K	T					
43. - DFA Global Real Estate Securities Portfolio	C	Dividend	M	T					
44. - DFA International Small Company Portfolio	A	Dividend	K	T					
45. - Schwab 1000 Index Fund	E	Dividend	P1	T					
46. - Vanguard FTSE All-World ex-US Index Fund	C	Dividend	M	T					
47.									
48. Irrevocable Trust #1 (H)									
49. - Vanguard Short Term Investment Grade Fund	B	Dividend	L	T					
50. - Arbitrage Fund Class I	B	Distribution	K	T					
51. - DFA Global Real Estate Securities I	A	Dividend	K	T					

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52. - PIMCO Commodity Real Return Strategy Fund	A	Dividend	J	T					
53. - Vanguard Extended Market Index Fund	B	Dividend	M	T					
54. - Vanguard FTSE All-World Ex-US Index Fund	C	Dividend	M	T					
55. - Vanguard Small Cap Index Fund	B	Dividend	L	T					
56. - Vanguard 500 Index Fund	C	Dividend	M	T					
57.									
58. Vanguard Account (H)									
59. - Vanguard FTSE All-World Ex-US Index Fund	B	Distribution	K	T					
60. - Vanguard Global Ex-US Real Estate Index Fund Admiral	C	Distribution	L	T					
61. - Vanguard Real Estate Index Admiral	B	Distribution	L	T					
62. - Vanguard Short Term Investment Grade Fund	C	Distribution	M	T					
63.									
64. Irrevocable Trust #2 (H)									
65. - iShares Core S&P 500	B	Dividend	M	T					
66. - Vanguard Small Cap ETF	A	Dividend	L	T	Buy (add'l)	01/29/20	K		
67. -- Vanguard Small Cap ETF					Buy (add'l)	03/02/20	J		
68. - Eaton Vance Core Plus BD	C	Dividend	M	T	Buy (add'l)	01/28/20	K		

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69. - Artisan Global Oppty Inv Cl	D	Distribution	M	T	Buy (add'l)	02/28/20	J		
70. - Driehaus Emerging Markets Growth Fund	A	Distribution	K	T					
71. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T					
72. - Schwab Fdmtl US Sm Co Idx	A	Dividend	K	T					
73. - Vanguard Dividend Appreciation Index Fund	B	Dividend	L	T	Buy (add'l)	02/28/20	K		
74.									
75. Irrevocable Trust #3 (H)									
76. - Vanguard Small Cap ETF	B	Dividend	M	T	Buy (add'l)	02/27/20	L		
77. - Eaton Vance Core Plus BD	C	Dividend	M	T	Buy (add'l)	02/26/20	J		
78. - Artisan Global Oppty Inv Cl	D	Dividend	M	T					
79. - PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T					
80. - Schwab 1000 Index Fund	B	Distribution	K	T					
81.									
82.									
83.									

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

The rental property listed in Section VII, line 36 was purchased on July 29, 2020 for \$658,000.

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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/ Jon S. Tigar**

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