

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) Gilliam Jr., Haywood S.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 03/23/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Active)	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 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. Trustee	Trust #1 (no reportable assets)
2. Board President	Northern District of California Practice Program
3. Board of Governors Member	Association of Business Trial Lawyers Northern California Chapter
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. 12/31/2020	Bay Area Fantasy Football League (prize winnings)	\$700.00
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.				
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) 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. Individual Assets (H)									
2. Citibank cash accounts (cash)	A	Interest	L	T					
3. Chase cash accounts (cash)	A	Interest	J	T					
4. Security Benefit Life Total Value Annuity (fixed annuity)	A	Interest	L	T					
5. Account #1 (H)									
6. Cetera (formerly FDIC) Deposit Sweep Account (cash)	A	Interest	J	T					
7. American Balanced Fund Class F-2 (AMBFX)	C	Dividend	L	T	Buy (add'l)	05/01/20	J		
8.					Buy (add'l)	06/01/20	J		
9.					Buy (add'l)	07/01/20	J		
10. The Bond Fund of America Class F-2 (ABNFX)	B	Dividend	K	T	Sold (part)	04/15/20	J	A	
11. Capital Income Builder Fund Class F-2 (CAIFX)	B	Dividend	L	T	Sold (part)	05/01/20	J		
12.					Sold (part)	06/01/20	J		
13.					Sold (part)	07/01/20	J		
14. Capital World Growth & Income Fund Class F-2 (WGIFX)	B	Dividend	M	T	Sold (part)	07/24/20	J	A	
15.					Sold (part)	11/23/20	J	A	
16. The Growth Fund of America Class F-2 (GFFFX)	B	Dividend	L	T	Sold (part)	04/15/20	J		
17.					Sold (part)	05/01/20	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	

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.					Sold (part)	05/26/20	J	A	
19.					Sold (part)	06/01/20	J	A	
20.					Sold (part)	06/23/20	J	A	
21.					Sold (part)	07/01/20	J	B	
22.					Sold (part)	07/24/20	J	A	
23.					Sold (part)	10/23/20	J	A	
24.					Sold (part)	12/24/20	J	A	
25. The Investment Company of America Class F-2 (ICAFX)	B	Dividend	M	T	Sold (part)	05/26/20	J		
26.					Sold (part)	06/23/20	J		
27.					Sold (part)	10/26/20	J	A	
28. Miller Convertible Bond Fund Class I (MCIFX)	E	Dividend	N	T	Sold (part)	08/24/20	J	A	
29.					Sold (part)	09/23/20	J	A	
30. Small-Cap Word Fund Class F-2 (SMCFX)	A	Dividend	K	T	Buy	05/01/20	J		
31.					Sold (part)	05/26/20	J	A	
32.					Buy (add'l)	06/01/20	J		
33.					Buy (add'l)	07/01/20	J		
34.					Sold (part)	12/24/20	J	A	

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

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35. Account #2 (H)									
36. HCM Income Plus Fund Class A (HCMEX)	A	Dividend	K	T	Buy	07/29/20	J		
37. HCM Dividend Sector Plus Fund Class A (HCMNX)		None	K	T	Buy	07/29/20	K		
38. HCM Tactical Growth Fund Class A (HCMGX)		None	K	T	Buy	07/29/20	K		
39. Horizon Active Risk Assist Fund Class N (ARANX)		None			Buy (add'l)	03/12/20	J		
40.					Sold (part)	06/22/20	J		
41.					Sold	07/29/20	K	A	
42. Horizon Multi Asset Income Fd Inv Class (HMANX)	A	Dividend			Sold	07/29/20	J		
43. Horizon U.S. Risk Assist Fund Inv Class (USRAX)		None			Buy (add'l)	06/22/20	J		
44.					Sold	07/29/20	J		
45. Horizon Defined Risk Fund Investor Class (HNDRX)		None			Sold	07/29/20	J	A	
46. Horizon Dynamic Dividend Fund Investors Class (HNDDX)	A	Dividend			Sold (part)	03/11/20	J		
47.					Sold (part)	06/22/20	J		
48.					Sold	07/29/20	J		
49. Horizon Active Income Fund Class N (AIMNX)	A	Dividend			Buy (add'l)	03/11/20	J		
50.					Sold (part)	03/12/20	J		
51.					Buy (add'l)	06/22/20	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
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52.					Sold	07/29/20	K	A	
53. First Tr ETF III Horizon Managed Vol Dev Intl ETF (HDMV)	A	Dividend			Sold	07/29/20	J		
54. First Tr ETF III Horizon Managed Vol Domestic ETF (HUSV)	A	Dividend			Sold (part)	03/11/20	J	A	
55.					Sold	07/29/20	J	A	
56. Ishares TR Barclays 7-10 Yr Teas BD ETF (IEF)	A	Dividend			Sold	06/22/20	J	A	
57. SPDR Ser Tr Bloomberg Barclays US Conv Liquid BD Index (CWB)	A	Dividend	J	T	Buy	07/29/20	J		
58. Account #3 (H)									
59. Cousins PPTYS Inc Com New (CUZ)	A	Dividend	J	T					
60. Gamco Global Gold, Natural Resources and Income Trust (GGN)	A	Dividend	J	T					
61. Account #4 (H)									
62. American Funds College Enrollment Fund-529A (CENAX)	D	Dividend	M	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

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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.

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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/ Haywood S. Gilliam Jr.

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