

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Orrick, William H.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 09/15/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2015 to 12/31/2015
	5b. ☒ Amended Report	
7. Chambers or Office Address United States District Court, Northern District of California 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. Trustee	Trust #1
2. Trustee	Trust #2
3. Co-Trustee	Trust #3
4. Trustee	Trust #4
5. Trustee	Trust #5
6. Trustee	Trust #6

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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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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Name of Person Reporting

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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. First Republic checking accounts	A	Interest	K	T					
2. Beneficial State Bank (f k a OnePacificCoast Bank) accounts	A	Interest	J	T					
3. Rental property #1, CA	E	Rent	P1	W					
4.									
5. 401K #1	F	Int./Div.	P1	T					
6. - Dodge & Cox Stock Fund									
7. - Fidelity Diversified International Fund									
8. - Spartan 500 Index Fund									
9. - Vanguard Total Bond Market									
10.									
11. 401k#2	D	Dividend	O	T					
12. -Vanguard Target 2020 Fund									
13. -Vanguard Int'l Growth Fund									
14.									
15. Vanguard Int'l Growth Fund	B	Dividend	L	T					
16. Vanguard Int'l Growth Fund	C	Dividend	L	T					
17. Dodge & Cox Stock Fund	E	Dividend	N	T	Sold (part)	01/02/15	K	E	

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.)

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18.					Sold (part)	04/13/15	K	E	
19.									
20. Trust #1	E	Dividend	P1	T					
21. -12% interest in rental property #1. [REDACTED]									
22. - Eli Lilly & Co Com									
23. - Express Scripts Hldg Co Com									
24. - General Electric Com									
25. - IBM Com									
26. - Merck & Co Com									
27. - Monsanto Co Com									
28. - Pfizer Com									
29. - Proctor & Gamble Com									
30. - Rayonier Com									
31. - JM Smucker Com									
32. - First Republic Bank account									
33.									
34. Trust #2	F	Dividend	P1	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)

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. -3M Co Com									
36. - 21st Century Fox									
37. -Adobe Systems									
38. -ADT Corporation									
39. - Aegon N V NY Registry ADR									
40. - American Express Co Com									
41. - AOL Inc Com					Sold	06/26/15	J	B	
42. - Apache Corp					Sold (part)	12/15/15	J	A	
43. - Baker Hughes, Inc. Com									
44. - Bank of America Com									
45. -Bank of New York Mellon Com									
46. - BB&T Corp Com									
47. - Boston Scientific Corp Com									
48. - Cadence Design System Inc Com									
49. - Capital One Fin'l Corp Com									
50. -Cisco Systems					Buy	07/17/15	K		
51. - Charles Schwab Corp									

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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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52. -Chevron Corp Com									
53. -Chubb Corp Com									
54. -Comcast Corp new CLA com									
55. - Computer Sciences Corp Com					Sold	07/14/15	K	D	
56. - Corning									
57. - Covidien PLC Shs Com					Sold	01/27/15	K	E	
58. - Diageo PLC Spon ADR New									
59. - Dow Chemical Com									
60. -EBay Inc Com									
61. - Eli Lilly Com									
62. -EMC Corp Mass					Buy	07/17/15	K		
63. - Ericcson L M Tel Co ADR B SEK 10									
64. - Express Scripts									
65. - Fedex Corp Com									
66. - General Electric Com					Sold (part)	12/29/15	K	D	
67. - Glaxosmithkline PLC Spons ADR					Sold	11/12/15	K	A	
68. - Hewlett Packard Co Com									

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69. -Hewlett Packard Ent (x)									
70. - Home Depot Inc Com									
71. - HSBC Hldgs PLC Spon ADR NEW					Sold	07/14/15	K	C	
72. - IBM Com									
73. - Liberty Interactive Corporation Int Com Ser A					Sold (part)	07/14/15	J	C	
74. - Medtronic, Inc Com					Sold (part)	01/27/15	K	D	
75. - Merck & Co New Com									
76. - Microsoft Com									
77. - National Oilwell					Sold (part)	12/14/15	J	A	
78. -NetApp									
79. - News Corp Cl A					Sold	07/14/15	J	C	
80. - Nokia Corp Spon ADR					Sold	05/01/15	J	A	
81. -Novartis ADR									
82. -Paypal Holdings (x)									
83. - Pfizer Com									
84. - Philips Electrs NY					Sold	12/14/15	J	A	
85. - Proctor & Gamble Com									

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86. - Roche Hldg Ltd Spon ADR									
87. - Sanofi Spon ADR									
88. - Schlumberger Ltd									
89. - Charles Schwab Corp New Com									
90. - Sprint Nextel Corp com ser 1									
91. - Suntrust Bks Inc Com									
92. - Symantec Corp Com									
93. - Target Corp Com									
94. - TE Connectivity Ltd Reg com shs									
95. -Time, Inc.					Sold	07/15/15	J	B	
96. - Time Warner Cable Inc Com									
97. - Time Warner Inc com new									
98. - Travelers Companies Inc Com									
99. - Tyco International Ltd Com									
100. - Union Pacific Com									
101. - United Health Group					Buy	11/18/15	K		
102. - US Bancorp Del com new									

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103. - Vulcan Materials Co Com									
104. - Walmart Stores Inc Com									
105. -Wells Fargo & Co									
106. - Schwab CA Muni Money Fund									
107.									
108. Trust # 3	F	Dividend	P1	T					
109. - Pasadena Calif Aree cmnty College Dist GO College bonds					Matured	08/01/15	L	A	
110. - Santa Clara Vy Calif Transn Auth Sales T Sales Tax Rev Bd									
111. - LA Cty Calif Met Transn Auth S Meas. R senior sales tax bd									
112. - Calif St Univ Rev systemwide Rev Bds									
113. - Santa Clara Ca Uni Sch Dist GO Bds									
114. - Calif St GO Refunding bonds									
115. - LA Calif Uni Sch Dist GO									
116. - 3M Co Com									
117. -21st Century Fox									
118. - Aegon N V NY Registry sh ADR									
119. - American Express Co Com									

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120. - Berkshire Hathaway Inc Del Cl B new Com									
121. - Capital One Fin'l Corp Com									
122. - Chevron Corp Com									
123. - Comcast Corp new cl A com									
124. - Computer Sciences Corp com					Sold	03/20/15	J	C	
125. - Covidien					Sold (part)	01/27/15	L	E	
126. -CSRA Inc. (x)									
127. - Dow Chem Com									
128. - EBay Inc Com									
129. - Eli Lilly & Co Com									
130. - Ericcson LM Tel Co ADR B sek 10									
131. - Exxon Mobil Corp Com									
132. - Fedex Corp Com									
133. - General Electric Com									
134. - Glaxosmithkline PLC Spons ADR									
135. -Halyard Health					Sold	03/20/15	J	B	
136. - Hewlett Packard Com									

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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. -Hewlett Packard Ente (x)									
138. -Home Depot Com									
139. - Honeywell Int'l Com									
140. - IBM Com									
141. - Kimberly Clark Corp Com									
142. - Medtronic (x)									
143. - Merck & Co Com									
144. - Microsoft									
145. - National Oilwell									
146. - News Corp Cl A com					Sold	03/20/15	J	D	
147. - Novartis AG Spons ADR									
148. - Panasonic Corp ADR					Sold	03/20/15	K	A	
149. - Paypal (x)									
150. - Pfizer Com									
151. - Proctor & Gamble Co Com									
152. - Sanofi Spons ADR									
153. - Charles Schwab Corp new com									

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		

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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)	(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. - Sprint Nextel Corp com ser 1									
155. - Target Corp Com									
156. - TE Connectivity Ltd Reg Shs Com									
157. - Time, Inc.					Sold	03/20/15	J	B	
158. - Time Warner Cable Inc Com									
159. - Time Warner Inc new com									
160. - Travelers Companies Inc Com									
161. - Union Pac Corp Com									
162. - Walmart Stores Com									
163. - Wells Fargo & Co new com									
164. - Schwab CA Muni Money Fund									
165.									
166. TIAA-CREF: Cref Stock Fund	B	Dividend	K	T					
167. TIAA Traditional Annuity	A	Interest	J	T					
168.									
169. Trust #4 : Dodge & Cox Stock Fund	D	Dividend	N	T	Sold (part)	03/12/15	K	E	
170. Trust #5: Dodge & Cox Stock Fund	D	Dividend	O	T	Sold (part)	01/02/15	J	B	

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		

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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)	(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.					Sold (part)	02/02/15	J	B	
172.					Sold (part)	03/02/15	J	B	
173.					Sold (part)	04/02/15	J	B	
174.					Sold (part)	05/02/15	J	B	
175.					Sold (part)	06/02/15	J	B	
176.									
177. Trust #6: Dodge & Cox Stock Fund	E	Dividend	O	T	Sold (part)	01/02/15	J	A	
178.					Sold (part)	02/02/15	J	A	
179.					Sold (part)	03/02/15	J	A	
180.					Sold (part)	04/01/15	J	A	
181.					Sold (part)	05/01/15	J	A	
182.					Sold (part)	06/01/15	J	A	
183.					Sold (part)	07/01/15	J	A	
184.					Sold (part)	08/01/15	J	A	
185.					Sold (part)	09/01/15	J	A	
186.					Sold (part)	10/01/15	J	A	
187.					Sold (part)	11/02/15	J	A	

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)
188.					Sold (part)	12/01/15	J	A	
189.									
190. Orphagen Pharmaceuticals preferred shares		None	J	W					

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

In Part VII, I have listed Rental Property #1 twice, in lines 3 and 22. 12% of the property is held in Trust #1 (line 22), and 21 1/3% is owned by me separately (line 3), and the gross values of those percentage interests are estimated accordingly. Rental Property #1 is rented--my share of the gross rent is reflected on line 3.

In Part VII, several companies are newly listed because of spinoffs or mergers. This includes Hewlett Packard Ente (lines 69, 137), which spun off from Hewlett Packard, Paypal Holdings (82, 149), which spun off from eBay, CSRA (126), which merged with Computer Sciences Corp, and Medtronic (142), which acquired Covidien. Also in Part VII, I inadvertently failed to list Halyard Health (135) in previous disclosures. I sold all of my stock in it in 2015.

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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/ **William H. Orrick**

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