

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 08/15/2017
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 01/01/2016 to 12/31/2016
	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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Orrick, William H.	08/15/2017

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

A. Filer's Non-Investment Income

[X] 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.)

[X] 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.)

[X] 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)	(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)
1. First Republic checking accounts	A	Interest	L	T					
2. Beneficial State Bank (f k a OnePacificCoast Bank) accounts	A	Interest	K	T					
3. Rental property #1, [REDACTED]	E	Rent	P1	W					
4.									
5. 401K #1									
6. - Dodge & Cox Stock Fund	E	Dividend	N	T					
7. - Fidelity Diversified International Fund	E	Dividend	N	T					
8. - Spartan 500 Index Fund	E	Dividend	N	T					
9. - Vanguard Total Bond Market	D	Int./Div.	M	T					
10.									
11. 401k#2									
12. -Vanguard Target 2020 Fund	E	Dividend	N	T					
13. -Vanguard Int'l Growth Fund	D	Dividend	M	T					
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)	04/01/16	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		

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18.									
19. Trust #1									
20. -12% interest in rental property #1, [REDACTED]		None	O	W					
21. - Eli Lilly & Co Com	B	Dividend	L	T					
22. - Express Scripts Hldg Co Com		None	J	T					
23. - General Electric Com	D	Dividend	M	T					
24. - IBM Com	D	Dividend	M	T					
25. - Merck & Co Com	B	Dividend	L	T					
26. - Monsanto Co Com	A	Dividend	L	T					
27. - Pfizer Com	B	Dividend	L	T					
28. - Proctor & Gamble Com	D	Dividend	N	T					
29. - Rayonier Com	A	Dividend	J	T					
30. - JM Smucker Com	A	Dividend	J	T					
31. - First Republic Bank account	A	Interest	K	T					
32.									
33. Trust #2									
34. -3M Co Com	A	Dividend	K	T					

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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35. - 21st Century Fox	A	Dividend	L	T					
36. -Adobe Systems		None	L	T					
37. -Adient PLC	C	Dividend	J	T	Sold (part)	10/31/16	J	A	
38. -ADT Corporation	A	Dividend			Sold	05/21/16	K	D	
39. - Aegon N V NY Registry ADR	A	Dividend	J	T					
40. - American Express Co Com	A	Dividend	K	T					
41. - Apache Corp	A	Dividend	K	T					
42. - Baker Hughes, Inc. Com	A	Dividend	K	T					
43. - Bank of America Com	A	Dividend	L	T					
44. -Bank of New York Mellon Com	A	Dividend	L	T					
45. - BB&T Corp Com	A	Dividend	K	T					
46. - Boston Scientific Corp Com		None	K	T	Sold (part)	01/29/16	K	D	
47. - Cadence Design System Inc Com		None	L	T					
48. - Capital One Fin'l Corp Com	A	Dividend	K	T					
49. -Cisco Systems	B	Dividend	K	T					
50. - Charles Schwab Corp	A	Dividend	L	T					
51. - Charter Communications		None	L	T	Sold (part)	05/23/16	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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52. -Chevron Corp Com	B	Dividend	K	T					
53. -Chubb Corp Com	A	Dividend			Sold	01/19/16	L	E	
54. -Comcast Corp new CLA com	B	Dividend	M	T					
55. - Corning	A	Dividend	K	T					
56. - Dell Technologies		None	J	T	Sold (part)	09/08/16	J	A	
57. - Diageo PLC Spon ADR New	A	Dividend	K	T					
58. - Dow Chemical Com	B	Dividend	L	T					
59. -EBay Inc Com		None	K	T					
60. - Eli Lilly Com	A	Dividend	K	T					
61. -EMC Corp Mass	A	Dividend			Sold	09/07/16	K	C	
62. - Ericcson L M Tel Co ADR B SEK 10	A	Dividend	J	T					
63. - Express Scripts		None			Sold	11/08/16	K	A	
64. - Fedex Corp Com	A	Dividend	L	T					
65. - General Electric Com	B	Dividend	K	T					
66. - Glaxosmithkline PLC Spons ADR	A	Dividend			Sold	05/16/16	K	A	
67. - Harley Davidson	A	Dividend	K	T	Buy	02/02/16	K		
68. - HP Inc.	B	Dividend	K	T					

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69. -Hewlett Packard Ente	A	Dividend	K	T					
70. - Home Depot Inc Com	A	Dividend	K	T					
71. - IBM Com	B	Dividend	K	T					
72. - Johnson Controls Interactive		None	K	T					
73. - Liberty Interactive Corporation Int Com Ser A		None	K	T					
74. - Medtronic, Inc Com	A	Dividend	K	T					
75. - Merck & Co New Com	B	Dividend	L	T					
76. - Microsoft Com	B	Dividend	L	T					
77. - National Oilwell	A	Dividend	K	T					
78. -NetApp	A	Dividend	K	T					
79. -Novartis ADR	B	Dividend	L	T					
80. -Paypal Holdings		None	K	T					
81. - Pfizer Com	B	Dividend	L	T	Sold (part)	01/29/16	K	E	
82. - Proctor & Gamble Com	B	Dividend	K	T					
83. - Roche Hldg Ltd Spon ADR	B	Dividend	K	T					
84. - Sanofi Spon ADR	B	Dividend	K	T					
85. - Schlumberger Ltd	B	Dividend	L	T					

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86. - Sprint Nextel Corp com ser 1		None	J	T					
87. - Suntrust Bks Inc Com	A	Dividend	K	T					
88. - Symantec Corp Com	D	Dividend	K	T					
89. - Target Corp Com	A	Dividend	K	T					
90. - TE Connectivity Ltd Reg com shs	A	Dividend	K	T					
91. - Time Warner Cable Inc Com	A	Dividend			Sold	05/20/16	L	E	
92. - Time Warner Inc com new	B	Dividend	L	T					
93. - Travelers Companies Inc Com	A	Dividend	K	T					
94. - Tyco International Ltd Com (X)	A	Dividend							
95. - Union Pacific Com	B	Dividend	L	T					
96. - United Health Group	A	Dividend	K	T					
97. - US Bancorp Del com new	A	Dividend	K	T					
98. - Vulcan Materials Co Com	A	Dividend	L	T					
99. - Walmart Stores Inc Com	A	Dividend	K	T					
100. -Wells Fargo & Co	C	Dividend	M	T					
101. - Schwab CA Muni Money Fund	A	Interest	J	T					
102.									

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103. Trust # 3									
104. - Santa Clara Vy Calif Transn Auth Sales T Sales Tax Rev Bd	A	Interest	K	T					
105. - LA Cty Calif Met Transn Auth S Meas. R senior sales tax bd	A	Interest	K	T					
106. - Calif St Univ Rev systemwide Rev Bds	B	Interest	K	T					
107. - Santa Clara Ca Uni Sch Dist GO Bds	A	Interest	K	T					
108. - Calif St GO Refunding bonds	B	Interest	K	T					
109. - LA Calif Uni Sch Dist GO	B	Interest	K	T					
110. - 3M Co Com	B	Dividend	L	T					
111. -21st Century Fox	A	Dividend	L	T					
112. - Advansix, Inc.		None	J	T					
113. - Aegon N V NY Registry sh ADR	A	Dividend	J	T	Sold (part)	10/10/16	J	A	
114. - American Express Co Com	A	Dividend	K	T					
115. - Berkshire Hathaway Inc Del Cl B new Com		None	K	T					
116. - Capital One Fin'l Corp Com	A	Dividend	L	T					
117. - Charter Communications		None	K	T	Sold (part)	05/16/16	K	C	
118. - Chevron Corp Com	B	Dividend	L	T					
119. - Comcast Corp new cl A com	B	Dividend	M	T					

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120. - Computer Sciences Corp com	A	Dividend	J	T					
121. -CSRA Inc.	A	Dividend	J	T					
122. - Dow Chem Com	C	Dividend	L	T					
123. - EBay Inc Com		None	K	T					
124. - Eli Lilly & Co Com	B	Dividend	L	T					
125. - Ericcson LM Tel Co ADR B sek 10	A	Dividend	J	T					
126. - Exxon Mobil Corp Com	C	Dividend	L	T					
127. - Fedex Corp Com	A	Dividend	K	T					
128. - General Electric Com	D	Dividend	M	T					
129. - Glaxosmithkline PLC Spons ADR	B	Dividend			Sold	05/16/16	K	C	
130. - HP Inc.	B	Dividend	K	T					
131. -Hewlett Packard Ente	A	Dividend	L	T					
132. -Home Depot Com	B	Dividend	L	T					
133. - Honeywell Int'l Com	B	Dividend	L	T					
134. - IBM Com	C	Dividend	L	T					
135. - Kimberly Clark Corp Com	B	Dividend	K	T					
136. - Medtronic	A	Dividend	K	T					

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)
137. - Merck & Co Com	B	Dividend	L	T					
138. - Microsoft	A	Dividend	K	T					
139. - National Oilwell	A	Dividend	K	T					
140. - Novartis AG Spons ADR	B	Dividend	L	T					
141. - Paypal		None	K	T					
142. - Pfizer Com	D	Dividend	M	T					
143. - Proctor & Gamble Co Com	B	Dividend	L	T					
144. - Sanofi Spons ADR	A	Dividend	K	T					
145. - Charles Schwab Corp new com	A	Dividend	K	T					
146. - Sprint Nextel Corp com ser 1		None	J	T					
147. - Target Corp Com	B	Dividend	K	T					
148. - TE Connectivity Ltd Reg Shs Com	B	Dividend	L	T					
149. - Time Warner Cable Inc Com	A	Dividend			Sold	05/08/16	J	D	
150. - Time Warner Inc new com	B	Dividend	L	T					
151. - Travelers Companies Inc Com	C	Dividend	M	T					
152. - Union Pac Corp Com	C	Dividend	M	T					
153. - Walmart Stores Com	A	Dividend	K	T					

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) 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)
154. - Wells Fargo & Co new com	D	Dividend	N	T					
155. - Schwab CA Muni Money Fund	A	Dividend	J	T					
156.									
157. TIAA-CREF: Cref Stock Fund	B	Dividend	K	T					
158. TIAA Traditional Annuity	A	Interest	J	T					
159.									
160. Trust #4 : Dodge & Cox Stock Fund	E	Dividend	N	T					
161. Trust #5: Dodge & Cox Stock Fund	F	Dividend	O	T					
162. Trust #6: Dodge & Cox Stock Fund	E	Dividend	O	T	Sold (part)	01/01/16	J	A	
163.					Sold (part)	02/01/16	J	A	
164.					Sold (part)	03/01/16	J	A	
165.					Sold (part)	04/01/16	J	A	
166.					Sold (part)	05/02/16	J	A	
167.					Sold (part)	06/01/16	J	A	
168.					Sold (part)	07/01/16	J	A	
169.					Sold (part)	08/01/16	J	A	
170. 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	
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	
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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 20. 12% of the property is held in Trust #1 (line 20), 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.

(X) Johnson Controls International merged with Tyco International (line 94) on 9/6/2016. All shares of Tyco were exchanged for Johnson Controls International (955 shares). Jonson Controls International effected a spin-off resulting in 95.5 shares of Adient Global Holdings Ltd in Trust #2 (line37) on 10/31/16.

Time Warner Cable (line 91) spun off Charter Communications-A, from which Trust #2 received 248.94 shares on 5/18/16 (line51). Trust #3 received 52.82 shares at the same time (line 119). I sold the remainder of my shares in Time Warner Cable.

On 9/7/16, EMC was acquired by Denali Holding Inc which conducts business operations through Dell, Inc. All EMC shares in Trust #2 were exchanged for 133.75 shares of Dell Technologies Inc.(line 56).

On 10/3/16, Honeywell International spun off a business resulting in new shares (20.76) in Advansix in Trust #3 (line 114).

In my 2015 amended financial disclosure at lines 124 and 125, I inadvertently indicated that I sold part of my Covidien stock and all of my Computer Sciences Corp com, when in fact the partial sale was of Computer Sciences Corp com and the entire amount of my Covidien stock was sold 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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