

**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) Koh, Lucy H.	2. Court or Organization District Court -- Northern California	3. Date of Report 05/15/2021
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 280 South First Street San Jose, California 95113		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. *(Reporting individual only; see pp. 9-13 of filing instructions)*

☒ NONE *(No reportable positions.)*

POSITION

NAME OF ORGANIZATION/ENTITY

1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions)*

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Koh, Lucy H.

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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. 2020	State of California -- salary
2. 2020	Stanford University -- salary
3. 2020	New York University -- salary
4. 2020	Thomson/Reuters -- book royalty

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. Cornell Law School	2/14/2020-2/16/2020	Ithaca, New York	Judge Moot Court	Airfare, ground transportation, meals, hotel
2. University of San Diego Law School	3/05/2020	San Diego, California	Speak on Judges Panel at Conference	Airfare, airport parking, ground transportation
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.		

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. Wells Fargo Accounts	A	Interest	L	T					
2. State of California Savings Plus Program		None	J	T					
3. American Funds Washington Mutual		None	M	T					
4. Nationwide Geneva Small Cap Gr R6		None	M	T					
5. Dodge & Cox Balanced		None	L	T					
6. Lord Abbett Total Return R5		None	L	T					
7. Vanguard Instl Trgt Retire 2035 Ins		None	L	T					
8. Vanguard Inst Target Retirement 2035	D	Int./Div.	O	T					
9. AMG Managers Fairpointe Mid Cap N	C	Distribution	L	T					
10. Invesco CollegeBound Age Based Portfolio		None	K	T					
11. TIAA ScholarShare Enrollment Portfolio Active		None	K	T					
12.									
13.									
14.									
15.									
16.									
17.									

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

III. Non-Investment Income

B. Spouse's Non-Investment Income

5. 2020 Yale University -- salary

VII. Investments and Trusts

9. AMG Managers Fairpointe Mid Cap N had both dividends and distributions in 2019 and 2020. The 2019 and 2020 Financial Disclosure Forms have no income type category for both dividend and distribution. In my 2019 Financial Disclosure Form, I categorized the income type as dividend. However, in both 2019 and 2020 the distributions were larger than the dividends, so I think the distribution income type category is probably better. Thus, in this 2020 Financial Disclosure Form, I am categorizing this income as distribution. In 2019 and 2020, the dividends and distributions were reinvested into the fund. I made no changes to this account in 2020.

11. TIAA CREF appears to have changed its name to TIAA. I had nothing to do with this name change, and I do not know when this name change happened. In 2020, TIAA ScholarShare changed the name of the account from "Active Age-Based Portfolio" to "Enrollment Portfolio Active". I had nothing to do with this name change, and I made no changes to this account in 2020.

I understand that all income is reportable, whether taxable, tax deferred, or tax exempt. I further understand that dividends that are reinvested must be listed as income. However, Part VII, lines 2-7 and lines 10-11 had no dividends, had no reinvestment of dividends, had no interest, and thus had no reportable income in calendar year 2020.

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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/ **Lucy H. Koh**

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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