

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Hammond, Mary E.	2. Court or Organization US BANKRUPTCY COURT - NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report 01/23/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) BANKRUPTCY JUDGE (FULL-TIME)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 280 S. FIRST ST COURTROOM 3035 SAN JOSE, CA 95113		
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.)

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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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.	CALIFORNIA BANKRUPTCY FORUM	05/19/2017 - 05/21/2017	CORONADO, CA	EDUCATIONAL SEMINAR OR PROGRAM	LODGING AND MEALS
2.	NATIONAL CONFERENCE OF BANKRUPTCY JUDGES	10/07/2017 - 10/11/2017	LAS VEGAS, NV	ACTIVITY OF PROFESSIONAL ASSOCIATION OR CIVIC ORGANIZATION	TRANSPORTATION, LODGING, AND MEALS
3.	AMERICAN BANKRUPTCY INSTITUTE	09/07/2017-09/08/2017	SAN DIEGO, CA	EDUCATIONAL SEMINAR OR PROGRAM	TRANSPORTATION, LODGING, AND MEALS
4.					

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

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.)*CREDITORDESCRIPTIONVALUE 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. WELLS FARGO CHECKING ACCOUNT	A	Interest	J	T					
2. WELLS FARGO SAVINGS ACCOUNT	A	Interest	J	T					
3. ALLY BANK SAVINGS ACCOUNT	A	Interest	L	T					
4. FIDELITY TRUST ACCOUNT (H)									
5. FIDELITY MUNICIPAL MONEY MARKET	A	Dividend	J	T					
6. AAPL (COMMON)	D	Dividend	N	T	Sold (part)	01/12/17	L	C	
7. AAPL (COMMON)					Sold (part)	08/01/17	K	D	
8. FIDELITY MSCI HEALTH CARE INDEX ETF (FHLC)	A	Dividend	K	T	Buy	01/24/17	K		
9. JANUS HENDERSON GL LIFE SCIENCES T (JAGLX)	A	Dividend	K	T	Buy	02/06/17	K		
10. IRA #1 (H)									
11. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
12. COLUMBIA ACORN CLASS I	C	Dividend	J	T					
13. FIDELITY VALUE	A	Dividend	J	T	Buy	01/12/17	J		
14. MERIDIAN CONTRARIAN FUND LEGACY (MVALX)	B	Dividend	J	T					
15. FIDELITY CANADA		None			Sold	01/10/17	J	A	
16. MATTHEWS INDIA FUND		None			Sold	01/10/17	J	C	
17. IRA #2 (H)									

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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18. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
19. DISNEY WALT CO	A	Dividend	J	T					
20. FIDELITY REAL ESTATE INVESTMENT	B	Dividend	K	T					
21. RBC MICROCAP VALUE FUND INSTL CLASS (RMVIX)	B	Dividend	K	T					
22. IRA #3 (H)									
23. FIDELITY CANADA	A	Dividend	K	T	Buy (add'l)	01/10/17	K		
24. FIDELITY 500 INDEX PREMIUM CLASS	C	Dividend	M	T	Buy (add'l)	01/20/17	K		
25. FIDELITY MID CAP STOCK	C	Dividend	K	T					
26. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	K	T					
27. FIDELITY STOCK SELECTOR LARGE CAP VALUE	A	Dividend	K	T	Buy (add'l)	01/10/17	J		
28. FIDELITY MID CAP VALUE	D	Dividend	M	T	Buy (add'l)	01/20/17	K		
29. FIDELITY MAGELLAN		None			Sold	01/10/17	J	D	
30. FIDELITY LOW PRICED STOCK	D	Dividend	L	T					
31. FIDELITY SELECT TELECOM	C	Dividend	K	T	Buy	01/20/17	K		
32. FMI INTERNATIONAL	A	Dividend	L	T					
33. JANUS HENDERSON SMALL CAP VALUE T	D	Dividend	L	T	Buy (add'l)	01/12/17	J		
34. MATTHEWS INDIA FUND	A	Dividend	K	T	Buy (add'l)	01/10/17	J		

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35. FIDELITY TOTAL BOND	A	Dividend	K	T					
36. FIDELITY STRATEGIC INCOME	B	Dividend	L	T					
37. FIDELITY MID CAP STOCK	C	Dividend	K	T					
38. FIDELITY REAL ESTATE INVESTMENT	B	Dividend	K	T					
39. DREYFUS SMALL CAP STOCK INDEX	C	Dividend	L	T	Buy (add'l)	01/12/17	J		
40. DISNEY WALT CO	A	Dividend	J	T	Buy	01/12/17	J		
41. IRA #4 (H)									
42. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
43. DODGE & COX STOCK	B	Dividend	K	T					
44. DREYFUS SMALL CAP STOCK INDEX	B	Dividend	K	T					
45. FIDELITY DIVERSIFIED INTERNATIONAL	A	Dividend	K	T					
46. FIDELITY MID CAP STOCK	A	Dividend	J	T					
47. FIDELITY VALUE	B	Dividend	K	T					
48. MERIDIAN CONTRARIAN FUND LEGACY	B	Dividend	J	T					
49. FIDELITY CONTRAFUND	D	Dividend	M	T					
50. FIDELITY STRATEGIC DIVIDEND & INCOME	D	Dividend	M	T					
51. FIDELITY STRATEGIC INCOME	B	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
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52. IRA #5 (H)									
53. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
54. FIDELITY DIVERSIFIED INTERNATIONAL	A	Dividend	J	T					
55. IRA #6 (H)									
56. NOVO NORDISK A/S ADR	A	Dividend			Sold	01/12/17	K	D	
57. FIDELITY 500 INDEX PREMIUM CLASS	A	Dividend	K	T	Buy	01/18/17	K		
58. FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
59. LINCOLN BENEFIT LIFE FLEXIBLE PREMIUM ADJUSTABLE INDEXED UNIVERSAL #1	D	Interest	M	T					
60. LINCOLN BENEFIT LIFE FLEXIBLE PREMIUM ADJUSTABLE INDEXED UNIVERSAL #2	C	Interest	L	T					
61. UTAH EDUCATIONAL SAVINGS PLAN AGE BASED AGGRESSIVE GLOBAL #1	B	Dividend	M	T	Buy (add'l)	12/08/17	J		
62. UTAH EDUCATIONAL SAVINGS PLAN AGE BASED AGGRESSIVE GLOBAL #2	C	Dividend	M	T	Buy (add'l)	12/08/17	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII.

Note:

PERKINS SMALL CAP VALUE (line 38 on 2016 report) changed name in 2017 to JANUS HENDERSON SMALL CAP VALUE (line 33 on 2017 report)

COLUMBIA ACORN CLASS Z (line 19 on 2016 report) changed name in 2017 to COLUMBIA ACORN CLASS I (line 12 on 2017 report)

Lines 59 and 60: revised description of Life Insurance to better describe type of policy

Also note, in response to Dec. 28, 2018 letter from Committee on Financial Disclosure:

In Part VII, lines 61 and 62, UTAH EDUCATIONAL SAVINGS PLAN AGE BASED AGGRESSIVE GLOBAL #1 & #2 were not in my prior 2016 response.

Prior to this year's report, I used the services of an accountant to prepare this report, and the accountant did not include these items. Please note the following information concerning these accounts:

Opened: 2013

2013-16 Value code L and Method code T for all years for both #1 and #2

Income, all Dividends:

2013 A for both #1 and #2

2014 B for both #1 and #2

2015 B for both #1 and #2

2016 B for both #1 and #2

Transactions:

2013 Buy L for both #1 and #2 on 10/17/2013

2014 none

2015 none

2016 none

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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/ Mary E. Hammond

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