

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Grewal, Paul S.	2. Court or Organization District Court- Northern District of California	3. Date of Report 6/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Robert F. Peckham Federal Building 280 S. 1st Street 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1
2.		
3.		
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.	2009	Howrey LLP Partnership Agreement with former law firm, no control
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.		
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. 2013	Symantec Corporation -- salary
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. LegalTech	1/28/2013-1/30/2013	New York, NY	CLE--teach	Transportation, lodging and food
2. South Asian Bar Association of Sacramento	3/14/2013	Sacramento, CA	Speech	Lodging
3. Sedona Institute	3/21/2013-3/22/2013	San Diego, CA	CLE--teach	Transportation, lodging and food
4. West	3/26/2013-3/27/2013	Costa Mesa, CA	CLE--teach	Transportation, lodging and food
5. Carmel Valley Ediscovery Retreat	5/1/2013-5/2/2103	Half Moon Bay, CA	CLE--teach	Transportation, lodging and food

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6.	Rocky Mountain Intellectual Property & Technology Institute	5/29/2013-5/31/2013	Westminster, CO	CLE--teach	Transportation, lodging and food
7.	Federal Circuit Bar Association	6/19/2013-6/21/2013, 10/7/2013-10/8/2013	Colorado Springs, CO, Washington, DC	CLE--teach	Transportation, lodging and food
8.	Conference on Preservation Excellence	9/18/2013-9/19/2013	Portland, OR	CLE--teach	Transportation, lodging and food
9.	South Asian Bar Association of San Diego	10/19/2013-10/20/2013	San Diego, CA	Speech	Transportation, lodging and food
10.	Law Society of Upper Canada	10/29/2013-10/30/2013	Toronto, Canada	CLE--teach	Transportation, lodging and food
11.	Berkeley Center for Law and Technology	11/09/2013-11/15/2013	Kyoto, Japan and Taipei, Taiwan	CLE--teach	Transportation, lodging and food
12.	Georgetown University	11/20/2013-11/22/2013	Washington, DC	CLE--teach	Transportation, lodging and food

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Inn of Court	Membership (dues, like privileges)	\$400.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Trust #1									
2. - American Century Income & Growth	B	Int./Div.	L	T					
3. - TD Ameritrade (Money Market Account)	A	Int./Div.	K	T					
4. - T. Rowe Price New Asia	A	Int./Div.	K	T					
5. - ETrade (Deposit Account)	A	Int./Div.	M	T					
6. - Symantec Corporation	A	Dividend	K	T	Sold (part)	01/02/13	K		
7.					Sold (part)	01/10/13	K		
8.					Sold (part)	01/17/13	J		
9.					Sold (part)	01/25/13	J		
10.					Sold (part)	02/25/13	J	C	
11.					Sold (part)	03/04/13	J	A	
12.					Sold (part)	05/07/13	J		
13.					Sold (part)	07/16/13	J	E	
14.					Sold (part)	07/31/13	K	D	
15.					Sold (part)	08/08/13	J		
16. - ING Direct	A	Interest	M	T					
17. First Tech Federal Credit Union (Deposit Accounts)	B	Interest	N	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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18. 401(K) #1									
19. - Metropolitan West Total Return Fund		None	M	T					
20. - MFS Blended Research U.S. Core Equity		None	M	T					
21. - Vanguard Institutional Index Instl		None	K	T					
22. - Vanguard International Growth Adm		None	K	T					
23. - Vanguard Small Cap Index Instl		None	K	T					
24. - Dodge & Cox International Stock		None	K	T					
25. - Vanguard MidCap Index Ins		None	K	T					
26. IRA #1									
27. - Fidelity Freedom 2035		None	N	T					
28. - Fidelity Total Mkt Index Investor Class		None	K	T					
29. Fidelity Scholarshare CA Portfolio 2024		None	L	T					
30. T. Rowe Portfolio 2018		None	M	T					
31. Hewlett-Packard Company	A	Dividend	K	T					
32. IRA #2									
33. - Old Mutual Strategic Small Company Fund C1 Z		None	J	T					
34. Agilent Technologies	A	Dividend	J	T					

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

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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/ Paul S. Grewal

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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