

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) Fogel, Jeremy D.	2. Court or Organization Federal Judicial Center	3. Date of Report 05/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge - Senior	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 Federal Judicial Center One Columbus Circle, N.E. Washington, DC 20002-8003		
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. Trustee	Trust #1 (see note in Part VIII)
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. 9/30/81	California Judicial Retirement System: entitled to receive approximately 61% of the current salary of a California Superior Court Judge
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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. 2017	California Judicial Retirement System	\$111,019.38
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. American Bar Association, Dispute Resolution Section	April 18-19	San Francisco, California	Presenter at conference	Transportation, meals and lodging
2. Association of Judicial Disciplinary Counsel	July 27-28	San Diego, California	Presenter at conference	Transportation, meals and lodging
3. Regional Dialogue	August 25-27	Bled, Slovenia	Strategic planning meeting	Transportation, meals and lodging
4. United Nations Office on Drugs and Crime	August 28-29	Vienna, Austria	Meeting of judicial ethics working group	Transportation, meals and lodging
5. American Board of Trial Advocates	October 19-20	Charleston, South Carolina	Presenter at conference	Transportation, meals and lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting Fogel, Jeremy D.	Date of Report 05/08/2018
--	---

6.	Institute for the Advancement of the American Legal System	November 8-10	Colorado Springs, Colorado	Meeting of working group on summary judgment practice	Transportation, meals and lodging
----	--	---------------	----------------------------	---	-----------------------------------

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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.			
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.	Morgan Stanley	Liquid Access Line of Credit	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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. Morgan Stanley brokerage account (assets listed below)									
2. --Vanguard Consumer Dsc ETF	A	Dividend			Sold	12/01/17	K	C	
3. --Vanguard Financials ETF	A	Dividend	K	T					
4. --Vanguard Small Cap ETF	A	Dividend	K	T					
5. --Vanguard Mid-Cap ETF	A	Dividend	L	T	Buy (add'l)	12/01/17	J		
6. --iShares S&P 500 Growth ETF	B	Dividend	M	T	Sold (part)	12/01/17	J	B	
7. --iShares S&P 500 Value ETF	C	Dividend	L	T	Sold (part)	12/01/17	J	B	
8. --iShares Select Dividend ETF	A	Dividend	K	T					
9. --Vanguard FTSE Developed Mkts E	B	Dividend	L		Buy (add'l)	12/01/17	J		
10. --Vanguard FTSE Emerging Markets	A	Dividend			Sold	12/01/17	K	D	
11. --iShares Nat Amt-Free Mun Bd ETF	A	Dividend	K	T					
12. --iShares Interim Credit Bd ETF	B	Dividend	L	T					
13. --E V ADV Floating Rate	C	Dividend	L	T					
14. --Western Asset Muni High Inc 1	A	Dividend			Sold	12/01/17	L	A	
15. --Morgan Stanley Bank	A	Interest	L	T					
16. DC College Savings Plan (asset listed below)									
17. --DC College Savings 2031 Portfolio	A	Dividend	K	T	Buy (add'l)	12/11/17	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
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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)

18. --Federated Muni Obligations WS	A	Dividend			Buy	07/17/17	K		
19.					Sold	12/12/17	K	A	
20. --Energy Sel Sect Spdr Fd	A	Dividend	K	T	Buy	12/01/17	K		
21. --iShares Core MSCI Emerging	A	Dividend	K	T	Buy	12/01/17	K		
22. --Delaware Natl Hi Yld Muni Bd 1	C	Dividend	L	T	Buy	12/01/17	L		
23. --First Tr Exchange Traded Fd VI	A	Dividend	K	T	Buy	12/01/17	K		
24. Morgan Stanley IRA#1 (assets listed below)									
25. --Morgan Stanley Bank	A	Interest	J	T					
26. --Vanguard Consumer Dsc ETF	C	Dividend			Sold	02/08/17	J	A	
27. --Vanguard Financials ETF	A	Dividend	J	T					
28. --Vanguard Small Cap ETF	A	Dividend	J	T					
29. --Vanguard Mid-Cap ETF	A	Dividend	J	T					
30. --iShares S&P 500 Growth ETF	A	Dividend	J	T					
31. --iShares S&P Value ETF	A	Dividend	J	T					
32. --iShares Dividend Appreciation	A	Dividend			Sold	02/08/17	J	A	
33. --Vanguard FTSE Developed Mkts E	A	Dividend			Sold	02/08/17	J	A	
34. --Vanguard FTSE Emerging Markets	A	Dividend	J	T	Sold (part)	02/08/17	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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)
35. --iShares Interim Credit Bd ETF	A	Dividend	J	T	Sold (part)	02/08/17	J	A	
36. --Spdr Barclays Capital High Yield	A	Dividend	J	T	Buy (add'l)	02/08/17	J		
37. --E V Adv Floating Rate	A	Dividend	J	T	Buy (add'l)	02/08/17	J		
38.					Sold (part)	04/11/17	J	A	
39. --Industrial Sel Sec Spdr Fd	A	Dividend	J	T					
40. --First Tr Exchange Traded Fd VI	A	Dividend	J	T	Buy	02/08/17	J		
41. --First Trt Hlth Care Alpha ETF		None	J	T	Buy	02/08/17	J		
42. --iShares Tips Bond ETF	A	Dividend	J	T	Buy	02/08/17	J		
43. Morgan Stanley IRA#2 (assets listed below)									
44. --Morgan Stanley Bank	A	Interest	J	T					
45. --Vanguard Consumer Dsc ETF	A	Dividend			Sold	04/11/17	J	A	
46. --Vanguard Financials ETF	A	Dividend	J	T	Sold (part)	04/11/17	J	A	
47. --Vanguard Small Cap ETF	A	Dividend	J	T	Sold (part)	04/11/17	J	A	
48. --Vanguard Mid-Cap ETFIndex	A	Dividend	J	T					
49. --iShares S&P Growth ETF	A	Dividend	J	T	Buy (add'l)	04/11/17	J		
50. --iShares S&P Value ETF	A	Dividend	J	T	Sold (part)	04/11/17	J	A	
51. --iShares Select Dividend ETF	A	Dividend			Sold	04/11/17	J	A	

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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)
52. --Vanguard FTSE Developed Mkts E	A	Dividend	J	T	Buy (add'l)	04/11/17	J		
53. --Vanguard FTSE Emerging Mkts	A	Dividend	J	T	Sold (part)	04/11/17	J	A	
54. --Wisdomtree Trust Japan Hedge EQ	A	Dividend			Sold	04/11/17	J	A	
55. --iShares Interim Credit Bd ETF	A	Dividend	J	T	Buy (add'l)	04/11/17	J		
56. --Spdr Barclays Capital High Yield	A	Dividend	J	T					
57. --iShares Tips Bond ETF	A	Dividend	J	T	Buy	04/11/17	J		
58. --Spdr BBG Barclays High Yie Bnd	A	Dividend	J	T	Buy	04/11/17	J		
59. --First Tr Exchange Traded Fd VI	A	Dividend	J	T	Buy	04/11/17	J		
60. --First Trst Hlth Care Alpha ETF	A	Dividend	J	T	Buy	04/11/17	J		
61. --Industrial Sel Sec Spdr Fd					Buy	04/11/17	J		
62. Trust #1 (assets listed below)(see note in Part VIII)									
63. --Doubleline Fds Total Return Bd Fd	D	Dividend	N	T					
64. --Pioneer Ser Tr VI Fltg Rate Fd	D	Dividend	N	T					
65. --Templeton Income Tr Global BHd FD	A	Dividend	N	T					
66.	D	Distribution							
67. --Intel Corp.	B	Dividend	K	T					
68. --Potash Corp. of Saskatchewan		None	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 H = \$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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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)
69. --Realty Income REIT		None	K	T					
70. --Teradata Corp.		None	K	T					
71. --Transocean Ltd. Ordinary Shares		None	K	T					
72. Pointright Holdings, Inc.		None	J	U					
73. Rental Property--Santa Clara County, CA(y) (see note in Part VIII)									
74. Two undeveloped lots--Placer County, CA (see note in Part VIII)		None	M	W	Sold (part)	07/11/17	M	F	Chris and Amy Hillyard
75.									
76.									

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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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

1. The entity listed as Trust #1 in Part I of my 2016 report was divided into two sub-trusts as of February 1, 2017. I have continued as the trustee of one of the sub-trusts. The other sub-trust has a different trustee, and I have no right, title, interest or legal obligation with respect to that sub-trust. The assets held by the sub-trust of which I have continued as the trustee are the same as those held by the original trust and listed in my 2016 report, except that half of the value of each asset as of the date of division was transferred to the other sub-trust.
2. The asset listed on line 73 in Part VII (Rental property--Santa Clara County, CA) was removed from the rental market on 9/30/17. The property now is the primary residence of a family member and my secondary residence.
3. One of the assets listed on line 74 in Part VII (Two undeveloped lots--Placer County, CA) was sold during the reporting period. I still own the other lot and will list it as a single lot in future reports.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Fogel, Jeremy D.

Date of Report

05/08/2018

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/ **Jeremy D. Fogel**

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