

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Breyer, Charles R.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 10/02/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. District Court, Northern District of California 450 Golden Gate Avenue, 17th Floor 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.)

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2018

City Arts & Lectures, Inc. - 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

	<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.			
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. Pacific Gas & Electric, common stock	B	Dividend	L	T					
2. First Niagara Group, common stock	A	Dividend	J	T					
3. U.S. Bancorp, common stock	B	Dividend	M	T					
4. U.C. Hastings Retirement Savings Plan	A	Dividend	J	T					
5. Protective Life Insurance whole life plan	A	Dividend	M	T					
6. First Republic Bank, cash accounts	A	Interest	L	T					
7. IRA #1 (CRB)									
8. - Primecap Odyssey Growth (POGRX)	A	Dividend	J	T					
9. - Columbia Acorn Fund (ACRN)	D	Dividend	M	T					
10. - Oppenheimer Developing Mkts (ODMAX)	A	Dividend	L	T	Sold (part)	10/24/18	K		
11. - Dodge & Cox Income Fund (DODIX)	D	Dividend	N	T	Buy (add'l)	02/27/18	K		
12. - Dodge & Cox Income Fund (DODIX)					Sold (part)	10/24/18	K		
13. - Dodge & Cox Income Fund (DODIX)	B	Dividend				10/25/18			Transfer in from IRA #2
14. - iShares Europe ETF (IEV)	C	Dividend	K	T	Sold (part)	10/24/18	M		
15. - Delaware Div Income (DPDFX)	A	Dividend	K	T		10/25/18			Transfer in from IRA #2
16. - Spartan US Bond Index (FSITX)	A	Dividend			Sold	02/26/18	L		
17. - Vanguard Portfolio Div App (VIG)	D	Dividend	N	T		10/25/18			Transfer in from IRA #2

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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 I (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. - Am Funds Growth F Am (GFAFX)	A	Dividend	J	T		10/25/18			Transfer in from IRA #2
19. - Nuveen Hi Yld Muni (NHMAX) - convert to (NHMRX)	B	Dividend	K	T	Buy	02/26/18	K		
20. - Nuveen Hi Yld Muni (NHMAX)	A	Dividend	J	T		10/25/18			Transfer in from IRA #2
21. - Fid. Adv. Floating Rt Hi Inc. (FFRIX)	D	Dividend	M	T		10/25/18			Transfer in from IRA #2
22. - Am Funds EuroPac Growth (AEGFX)	C	Dividend	L	T		10/25/18			Transfer in from IRA #2
23. - iShares MSCI EAFE Index (EFA)	D	Dividend	N	T		10/25/18			Transfer in from IRA #2
24. - iShares S&P North American Natural (IGE)	A	Dividend			Sold	03/14/18	K		
25. - iShares Tr Russell Midcap Index (IWR)	C	Dividend	M	T		10/25/18			Transfer in from IRA #2
26. - iShares Tr Russell 1000 Growth Index (IWF)	D	Dividend	O	T		10/25/18			Transfer in from IRA #2
27. - iShares Tr Russell 2000 (IWM)	B	Dividend	L	T		10/25/18			Transfer in from IRA #2
28. - Templeton Global Bond (TPINX)	E	Dividend	N	T	Sold (part)	03/14/18	J		
29. - Templeton Global Bond (TPINX)	B	Dividend				10/25/18			Transfer in from IRA #2
30. - Fidelity Cash Reserves (FDRXX)	A	Dividend	K	T					
31. - Fidelity Cash Reserves (FDRXX)					Sold (part)	03/21/18	L		
32. - Fidelity Cash Reserves (FDRXX)					Sold (part)	10/29/18	M		RMD 2018
33. - Spartan InFlat Protect Bond (FSIYX) (New Name FIPDX)	D	Dividend	N	T					
34. JOINT COMMUNITY PROPERTY									

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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☐ 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. - Fidelity Cal Municipal Money Mkt Fund (FZBXX)	A	Interest	J	T	Sold (part)	03/15/18	K		
36. - Fidelity Cal Municipal Money Mkt Fund (FZBXX)	A	Interest	J	T	Sold (part)	10/31/18	J		
37. - Fidelity Adv. Balanced (FABLX)	A	Dividend			Sold	03/14/18	K		
38. - Vanguard Int. Term Muni Bond (VWITX)	A	Dividend			Sold	03/14/18	J		
39. IRA #2 (SRG) - Account Closed 10/25/18									
40. - Fidelity Cash Reserves (FDRXX)	A	Interest			Merged (with line 7)	10/25/18	J		Transfer to IRA #1
41. - Fidelity Cash Reserves (FDRXX)					Merged (with line 7)	11/01/18	J		Transfer to IRA #1
42. - Primecap Odyssey Growth (POGRX)		None			Merged (with line 7)	10/25/18	J		Transfer to IRA #1
43. - Select American Shares (SLASX)		None			Sold	02/26/18	K		
44. - Templeton Global Bond Fund - Class A (TPINX)	B	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
45. - Oppenheimer Developing Mkts (ODMAX)					Merged (with line 7)	10/25/18	J		Transfer to IRA #1
46. - Am. Funds Euro Pacific Growth (AEGFX)	A	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
47. - Delaware Div. Income (DPDFX)	A	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
48. - Dodge & Cox Income Fund (DODIX)	B	Dividend			Merged (with line 7)	10/25/18	L		Transfer to IRA #1
49. - iShares Europe ETF (IEV)	A	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
50. - iShares MSCI EAFE ETF (EFA)	A	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
51. - iShares N.A. Natural Res. (IGE)	A	Dividend			Merged (with line 7)	10/25/18	J		Transfer to IRA #1

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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52. - IShares Russell 1000 Growth (IWF)	A	Dividend			Merged (with line 7)	10/25/18	L		Transfer to IRA #1
53. - IShares Russell Mid-Cap (IWR)	A	Dividend			Merged (with line 7)	10/25/18	J		Transfer to IRA #1
54. - IShares Russell 2000 (IWM)	A	Dividend			Merged (with line 7)	10/25/18	J		Transfer to IRA #1
55. - Spartan U.S. Bond Index (FSITX)	A	Dividend			Sold	02/26/18	J		
56. - AmFunds - Growth of Am (GFAFX)	A	Dividend			Buy	02/27/18	J		
57. - AmFunds - Growth of Am (GFAFX)					Merged (with line 7)	10/25/18	J		Transfer to IRA #1
58. - Vanguard Port. Div. App. (VIG)	A	Dividend			Merged (with line 7)	10/25/18	L		Transfer to IRA #1
59. - Fid Adv Floating Rt Hi Inc. (FFRIX)	B	Dividend			Merged (with line 7)	10/25/18	K		Transfer to IRA #1
60. - Nuveen Hi Yld Muni (NHMAX)	A	Dividend			Buy	02/27/18	J		
61. - Nuveen Hi Yld Muni (NHMAX)	A	Dividend			Merged (with line 7)	10/25/18	J		Transfer to IRA #1

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 I = 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	

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

1. All dividends (both regular and capital gain) were reinvested for the mutual funds shown on Part VII, which results in a minor increase in the number of shares held.
2. IRA #1 and IRA #2 require an annual minimum distribution (aka RMD) after age 70.5. Various holdings are sold (in whole or in part); the proceeds are added to Fidelity Cash Reserves (FDRXX), and the required distribution is made from there.
3. Account holder of IRA #2 passed away 9/25/18. All assets transferred to IRA #1.

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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/ **Charles R. Breyer**

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
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Washington, D.C. 20544