

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) HAMILTON, PHYLLIS J.	2. Court or Organization US DISTRICT COURT NORTHERN DISTRICT OF CALIFORNIA	3. Date of Report 04/26/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address US DISTRICT COURT 1301 CLAY STREET OAKLAND, CA 94612		
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. 01-12-2016	ALBERTSONS, LLC- SALARY
2. 01-12-2016	PUBLIC EMPLOYEES RETIREMENT SYSTEM - RETIREMENT BENEFITS
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. Just the Beginning - APO	September 15 - 18, 2016	New York, NY	JTB-APO Biennial Conference	Lodging, meals, local transportation partially underwritten by JTB-APO
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. Farrow Rd LLC		None	J	W					
2. Wells Fargo Bank Accounts	B	Interest	M	T					
3. Wells Fargo IRA	A	Interest	K	T	Open	04/15/16	L		Rollover from Ally IRA
4. Ally Bank Accounts	A	Interest			Closed	08/15/16	M	A	
5. Ally Bank IRA	A	Interest			Closed	04/08/16	L	A	Rollover to Wells Fargo IRA
6. E-Trade Bank Accounts	C	Interest			Closed	07/19/16	J	A	
7. American Express Bank Account	A	Interest	N	T					
8. Intel Stock	A	Dividend	J	T					
9. Agilent Stock		None			Sold	08/12/16	K	C	To Wells Fargo Acct
10. Microsoft Stock		None			Sold	08/12/16	K	E	To Wells Fargo Acct
11. Nasdaq 100 Fund		None			Sold	08/12/16	L	E	To Wells Fargo Acct
12. Janus Overseas Mutual Fund	A	Dividend	K	T					
13. Harbor Bond Fund Mutual Fund	B	Dividend	L	T	Buy (add'l)	05/10/16	J		
14.					Buy (add'l)	07/25/16	J		
15. Vanguard Index 500 Mutual Fund	B	Dividend	M	T	Buy (add'l)	03/17/16	J		
16.					Buy (add'l)	08/17/16	K		
17. Janus Mercury Fund Mutual Fund	A	Dividend	J	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 = \$250,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000,000	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. Pioneer Equity Mutual Fund	A	Dividend			Sold	04/03/16	J	D	
19. Wells Fargo Advantage Fund	A	Dividend	J	T					
20. US Savings Bonds	C	Interest	M	T					
21. PIMCO Total Return	D	Dividend	M	T					
22. Vanguard Dividend Growth Fund	D	Dividend	L	T	Buy (add'l)	05/10/16	J		
23.					Buy (add'l)	07/05/16	J		
24.					Buy (add'l)	08/22/16	J		
25. Vanguard GNMA Fund	C	Dividend	M	T	Buy (add'l)	01/19/16	J		
26. Vanguard Small Cap Index Fund	A	Dividend	K	T					
27. Vanguard Wellsey Fund	A	Dividend	M	T	Buy (add'l)	08/02/16	J		
28.					Buy (add'l)	09/02/16	J		
29.					Buy (add'l)	10/03/16	J		
30.					Buy (add'l)	11/04/16	K		
31.					Buy (add'l)	12/06/16	J		
32. Vanguard REIT Index Portfolia	A	Dividend	K	T					
33. Janus Growth & Income Fund	A	Dividend	J	T					
34. R.S. Small Cap Value Fund	C	Dividend	J	T					

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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	
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35. American Funds EuroPacific Growth Fund	C	Dividend	J	T					
36. State Street S&P 500 Index	C	Dividend	J	T					
37. Vanguard Bond Index Fund	C	Dividend	K	T	Buy	02/02/16	J		
38.					Buy (add'l)	03/04/16	J		
39.					Buy (add'l)	03/07/16	J		
40.					Buy (add'l)	04/04/16	J		
41.					Buy (add'l)	06/02/16	J		
42. Vanguard Balanced Index Fund	C	Dividend	N	T	Buy	01/03/16	N		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 Q = \$250,001 - \$500,000	R = \$500,001 - \$1,000,000 S = \$1,000,001 - \$5,000,000
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.)*

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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/ PHYLLIS J. HAMILTON

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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