

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) Illston, Susan Y.	2. Court or Organization U.S. District Court, N.D. Cal.	3. Date of Report 10/12/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court 450 Golden Gate Avenue 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board of Governors	Association of Business Trial Lawyers, Northern California
2.	Custodian	Children's Insurance Policies
3.	Custodian	Children's Annuities
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.		
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. 2016	JAMS, Inc. - payments
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-- Section of Antitrust Law	2/1/16-2/15/16	Tokyo, Japan	Educational seminar or program	Travel, food, and lodging reimbursement
2. American Bar Association-- Section of Antitrust Law	4/5/16-4/8/16	Washington, DC	Educational seminar or program	Travel, food, and lodging reimbursement
3. University of Miami School of Law	11/30/16-12/4/16	Miami, FL	Educational seminar or program	Travel, food, and lodging reimbursement
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.	Chase	Credit Cards	J
2.	Citibank	Credit Cards	J
3.	Schwab Bank	Credit Cards	J
4.	Wells Fargo	Credit Cards	J
5.	American Express	Credit Cards	J

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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. I. Schwab Inst'l Rollover IRA									
2. Aberdeen Emerging Markets Fund	A	Dividend	K	T					
3. Akre Focus Fund		None	J	T					
4. Alphabet, Inc. [Google]		None	K	T					
5. Capital One	A	Dividend	K	T	Buy	06/24/16	K		
6. Comcast		None	K	T					
7. Devon Energy	A	Dividend	K	T	Buy	09/13/16	K		
8. Dodge & CDX Income Fund	B	Dividend	K	T					
9. Dodge & CDX International	B	Dividend	K	T	Buy	02/22/16	K		
10.					Buy (add'l)	06/24/16	K		
11. Emerson Electric		None			Sold	07/28/16	J	A	
12. FPA Crescent Fund		None			Sold	03/21/16	J	A	
13. General Electric	A	Dividend	K	T	Sold (part)	03/30/16	K	A	
14.					Sold (part)	08/18/16	K	A	
15. General Motors	A	Dividend	J	T					
16. GS Bond Fund Inst	A	Dividend	K	T					
17. Halliburton	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 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 ~\$250,000,001 - \$500,000,000	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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☐ NONE (No reportable income, assets, or transactions.)

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	(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. Harbor Cap Appreciation Fund	A	Dividend	K	T					
19. Harbor International Fund	A	Dividend	K	T					
20. Ishares Biotech Fund	A	Dividend	K	T					
21. J.P. Morgan	A	Dividend			Sold	01/14/16	K	D	
22. Johnson and Johnson	B	Dividend	K	T	Sold (part)	06/27/16	K	E	
23. Loomis Sayles Bond Fund	A	Dividend	K	T	Sold (part)	09/27/16	K	A	
24. Loomis Sayles High Income		None			Sold	01/14/16	K	A	
25. Lord Abbett Bond	B	Dividend	K	T	Buy	02/22/16	K		
26. Matthews China Small Company Fund	A	Dividend	J	T					
27. Matthews Pacific Tiger Fund	A	Dividend	J	T					
28. Metlife	A	Dividend	K	T					
29. Microsoft	A	Dividend	K	T					
30. Oaktree Cap. Group	A	Dividend	K	T	Buy	08/03/16	K		
31. Oracle Corp.	A	Dividend	K	T					
32. Osterweis Strategic Inc. Fund	B	Dividend	K	T					
33. Range Resources	A	Dividend			Sold	07/12/16	K	A	
34. Roche ADR		None			Sold	01/14/16	K	D	

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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.					Buy	06/24/16	J		
36.					Sold	10/05/16	J	A	
37. Schlumberger LTD	A	Dividend	K	T					
38. Schroder International Multicap		None			Sold	02/22/16	J	A	
39. Schwab Advisor Standard (Cash)	A	Dividend	K	T					
40. Sequoia Fund		None			Sold (part)	05/10/16	K	A	
41.					Sold	10/25/16	J	A	
42. Teva Pharm.	A	Dividend	J	T	Buy	10/05/16	J		
43. Tweedy Browne Global	A	Dividend	K	T					
44. Walt Disney		None	J	T	Buy	08/18/16	J		
45. Wells Fargo & Co.	B	Dividend	K	T	Buy	01/14/16	K		
46.					Buy (add'l)	01/15/16	K		
47.					Buy (add'l)	04/14/16	K		
48. II. Schwab One Brokerage Inst'l									
49. Akre Focus Fund		None	J	T					
50. Allergan Inc.		None	K	T	Buy	01/28/16	K		
51.					Buy (add'l)	04/08/16	K		

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.					Buy (add'l)	05/06/16	K		
53.					Buy (add'l)	05/10/16	K		
54.					Buy (add'l)	11/23/16	K		
55.					Buy (add'l)	12/27/16	K		
56. Antero Resources		None	K	T	Buy	07/12/16	K		
57. Apple Computer	A	Dividend	K	T	Buy	05/03/16	K		
58. Baron Emerg. Mkrt.		None	J	T					
59. Cisco Systems	A	Dividend			Sold	02/23/16	K	A	
60. First Eagle Gold FD		None	J	T	Buy	06/09/16	J		
61. General Motors	A	Dividend	J	T					
62. GS Gold Mine Linked Note 2016		None			Redeemed	05/20/16	J	C	
63. Kinder Morgan Inc.	A	Dividend	K	T	Buy	07/21/16	K		
64.					Buy (add'l)	07/28/16	K		
65. Oaktree Cap. Grp.	B	Dividend			Buy	07/28/16	K		
66.					Sold	12/28/16	K	A	
67. Pear Tree Polaris		None	K	T	Buy	02/22/16	K		
68. Qualcomm	B	Dividend	K	T	Buy	01/28/16	K		

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69.					Sold (part)	10/04/16	K	D	
70.					Sold (part)	12/14/16	K	D	
71. Range Resources		None			Sold	12/30/16	J	A	
72. Schwab Muni Money Fund	A	Dividend	L	T					
73. Time Warner	A	Dividend	J	T	Sold (part)	10/21/16	J	C	
74. III. Schwab SEP IRA									
75. Apple Computer	A	Dividend	K	T	Buy	01/15/16	K		
76. Baron Emerging Markets	A	Dividend	K	T	Buy	06/24/16	K		
77. Schwab Cash Reserves Money Market Account	A	Dividend	L	T					
78. Third Avenue Real Estate	A	Dividend			Sold	11/15/16	K	A	
79. T Rowe Price Inst.	A	Dividend	L	T	Buy	11/21/16	L		
80.					Buy (add'l)	11/27/16	L		
81. Vanguard Corp. Bond ETF	A	Dividend			Sold	11/21/16	K	A	
82. IV. Schwab Living Trust									
83. DOMIX	B	Dividend	L	T	Buy (add'l)	06/24/16	J		
84. DSI	A	Dividend	K	T	Sold (part)	11/16/16	J	A	
85. PARMX	A	Dividend	K	T					

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86. PRBLX	A	Dividend	K	T	Buy (add'l)	06/24/16	J		
87. PXWIX	A	Dividend	K	T					
88. SWZXX (Cash Reserves Money Market Fund)	A	Dividend	J	T					
89. VFTSX	A	Dividend	L	T					
90.									
91. Citibank account	A	Interest	N	T					
92. Northwestern Mutual Life Insurance Assets									
93. Northwestern Mutual Life Annuity	A	Interest	M	T					
94. Northwestern Mutual Life Insurance		None	N	T					
95. Northwestern Mutual Life Annuities	D	Distribution	L	T					
96. Northwestern Mutual Life Insurance Trust		None	P1	T					
97. Chase Bank Account	A	Interest	O	T					
98. Wells Fargo Bank Account	A	Interest	K	T					
99. Provident Federal Credit Union	A	Interest	O	T					

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

On September 19, 2017, the Committee sent me a letter highlighting certain issues regarding my 2016 financial disclosure report. In response, I am filing this amended report, which includes the change to Part VII discussed below.

Part VII, line 88. The description of asset has been amended to reflect that this is a money market fund.

I am simultaneously filing amended 2014 and 2015 reports to address the other issues highlighted by the Committee's letter.

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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/ Susan Y. Illston

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