

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) Fogel, Jeremy D.	2. Court or Organization Federal Judicial Center	3. Date of Report 05/18/2017
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 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.)

	<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.	9/30/81	California Judicial Retirement System: entitled to receive approximately 61% of the current salary of a California Superior Court Judge
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. 2016	California Judicial Retirement System	\$107,730.66
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. Association of American Law Schools	January 8-9	New York, NY	Panelist at conference	Transportation, meals and lodging
2. Ecole Nationale de la Magistrature	February 4-9	Paris, France	Presenter/participant at judicial conference on terrorism cases	Transportation, meals and lodging
3. Institute for the Advancement of the American Legal System	February 24-26	Denver, CO	Presenter at conference	Transportation, meals and lodging
4. Academy of Court-Appointed Masters	March 31-April 1	Atlanta, GA	Presenter at conference	Transportation, meals and lodging

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5.	Federal Circuit Bar Association	June 23-25	Nashville, TN	Presenter at conference	Transportation, meals and lodging
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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.	Morgan Stanley(x)	Liquidity Access Line of Credit	M
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 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)

1. Morgan Stanley brokerage account (assets listed below)									
2. --Vanguard Consumer Dsc ETF	A	Dividend	K	T					
3. --Vanguard Financials ETF	D	Dividend	K	T					
4. --Vanguard Small Cap ETF	C	Dividend	K	T					
5. --Vanguard Mid-Cap ETF	C	Dividend	K	T	Sold (part)	12/23/16	J	A	
6. --iShares S&P 500 Growth ETF	C	Dividend	L	T					
7. --iShares S&P 500 Value ETF	D	Dividend	M	T					
8. --iShares Select Dividend ETF	C	Dividend	K	T					
9. --Vanguard FTSE Developed Mkts E	A	Dividend	K	T					
10. --Vanguard FTSE Emerging Markets	A	Dividend	K	T					
11. --iShares Nat Amt-Fre Mun Bd ETF	A	Dividend	K	T	Sold (part)	12/23/16	J	A	
12. --Wisdomtree Trust Japan Hedge EQ	A	Distribution			Sold	11/21/16	K	A	
13. --iShares Interim Credit Bd ETF	A	Dividend	L	T					
14. --E V ADV Floating Rate	B	Dividend	L	T					
15. --Western Asset Muni High Inc I	A	Dividend	L	T	Sold (part)	12/23/16	J	A	
16. --Morgan Stanley Bank	A	Interest	J	T					
17. DC College Savings Plan (assets listed below)(x)(see Part VIII)									

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)

18. --DC College Savings 2031 Portfolio	A	Dividend	J	T	Buy	12/27/16	J		
19. Morgan Stanley IRA#1 (assets listed below)									
20. --Morgan Stanley Bank(x) (see note 2, part VIII in 2015 report)	A	Interest	J	T					
21. --Vanguard Consumer Dsc ETF	A	Dividend	J	T					
22. --Vanguard Financials ETF	A	Dividend	J	T					
23. --Vanguard Small Cap ETF	A	Dividend	J	T					
24. --Vanguard Mid-Cap ETF Index	A	Dividend	J	T					
25. --iShares S&P 500 Growth ETF	A	Dividend	J	T					
26. --iShares S&P Value ETF	A	Dividend	J	T					
27. --iShares Dividend Appreciation (previously Select Dividend ETF)	A	Dividend	J	T					
28. --Vanguard FTSE Developed Mkts E	A	Dividend	J	T					
29. --Vanguard FTSE Emerging Markets	A	Dividend	J	T					
30. --Wisdomtree Trust Japan Hedge	A	Distribution			Sold	11/21/16	J	A	
31. --iShares Interim Credit Bd ETF	A	Dividend	J	T					
32. --Spdr Barclays Capital High Yield	A	Dividend	J	T					
33. --E V Adv Floating Rate I	A	Dividend	J	T					
34. --Industrial Sel Sec Spdr Fd(x)	A	Dividend	J	T	Buy	11/21/16	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

35. Morgan Stanley IRA#2 (assets listed below)									
36. --Morgan Stanley Bank(x) (see note 2, part VIII in 2015 report)	A	Interest	J	T					
37. --Vanguard Consumer Dsc ETF	A	Dividend	J	T					
38. --Vanguard Financials ETF	A	Dividend	J	T					
39. --Vanguard Small Cap ETF	A	Dividend	J	T					
40. --Vanguard Mid-Cap ETF Index	A	Dividend	J	T					
41. --iShares S&P Growth ETF	A	Dividend	J	T					
42. --iShares S&P Value ETF	A	Dividend	J	T					
43. --iShares Select Dividend ETF	A	Dividend	J	T					
44. --Vanguard FTSE Developed Mkts E	A	Dividend	J	T					
45. --Vanguard FTSE Emerging Mkts	A	Dividend	J	T					
46. --Wisdomtree Trust Japan Hedge EQ	A	Distribution	J	T					
47. --iShares Interim Credit Bd ETF	A	Dividend	J	T					
48. --Spdr Barclays Capital High Yield	A	Dividend	J	T					
49. --E V Adv Floating Rate I	A	Dividend	J	T					
50. Trust #1 (assets listed below)									
51. --Doubleline Fds Total Return Bd Fd	D	Dividend	N	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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52. --Pioneer Ser Tr VI Fltg Rate Fd	D	Dividend	N	T					
53. --Templeton Income Tr Global Bd FD	D	Dividend	N	T					
54. --Intel Corp.	B	Dividend	K	T					
55. --Potash Corp. of Saskatchewan		None	K	T					
56. --Realty Income REIT		None	K	T					
57. --Teradata Corp.		None	K	T					
58. --Transocean Ltd. Ordinary Shares		None	K	T					
59. Pointright Holdings, Inc.		None	J	U					
60. Rental property--Santa Clara County, CA	F	Rent	P1	W					
61. Two undeveloped lots--Placer County, CA		None	M	W					

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

The investment listed at line 17 of Part VII is a Section 529 plan for a family member. The only asset of the fund identified in the annual and quarterly reports I receive from the plan is listed on line 18. I have no control over or knowledge of the underlying contents of the DC College Savings 2031 Portfolio. The reports I have received contain the following statement: "The Plan's Portfolios invest in: (i) exchange-traded funds, (ii) mutual funds and (iii) a funding agreement. Investments in The Plan are municipal securities that will vary with market conditions,"

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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/ **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
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Washington, D.C. 20544