

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) Freeman, Beth L.	2. Court or Organization U.S. District Court, Northern District of California	3. Date of Report 05/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	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 280 South First St. San Jose, CA 95113		
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.	Member, Board of Governors	Association of Business Trial Lawyers
2.	Trustee	Junior Statesmen Foundation
3.	Co-Trustee	Freeman Family Trust
4.	Director	Federal Practice Program
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.	1983	San Mateo County Employees Retirement Association - Pension
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	San Mateo County Employees' Retirement Association - Pension	\$83,849.13
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Jones Day Qualified Defined Benefit Pension Plan - Pension
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. Freeman Aggregate (H)									
2. - DFA US Core Equity I Institutional	A	Dividend	K	T					
3. - SPDR S&P 500 ETF	D	Dividend	N	T					
4. - Schwab Total Stock Market Index Fund	A	Dividend	K	T					
5. - Vanguard Dividend Appreciation ETF	B	Dividend	L	T					
6. - Vanguard Growth Index Fund Investor Shares	A	Dividend	K	T					
7. - Vanguard Total Stock Market ETF	D	Dividend	N	T					
8. - Artisan International Fund Advisor Class	E	Dividend	J	T	Sold (part)	12/10/18	M		
9. - Dodge & Cox International Stock Fund		None			Sold	12/17/18	M		
10. - Vanguard FTSE All World ex-US ETF	A	Dividend	J	T					
11. - Vanguard FTSE Developed Markets ETF	B	Dividend	L	T					
12. - iShares MSCI Pacific ex-Japan ETF	B	Dividend	K	T					
13. - Ashmore Emerging Markets Frontier Equity Fund	A	Dividend			Sold	12/17/18	J		
14. - Stone Ridge All Asset Variance Risk Premium Fund	A	Dividend	O	T	Sold (part)	07/13/18	N		
15. - FPA Crescent Fund	B	Dividend	K	T					
16. - Glenmede Secured Options Portfolio	D	Dividend	O	T					
17. - Stone Ridge Reinsurance Risk Premium Fund	D	Dividend	M	T	Sold (part)	05/18/18	N		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	P3 = \$25,000,001 - \$50,000,000 P4 = More than \$50,000,000
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. - RiverPark Short Term High Yield Fund	E	Dividend	M	T	Sold (part)	05/02/18	J		
19.					Sold (part)	12/10/18	O		
20. - Shenkman Short Duration High Income	E	Dividend	O	T	Sold (part)	01/05/18	J		
21.					Sold (part)	11/16/18	J		
22. - DoubleLine Total Return Bond Fund	E	Dividend	M	T	Sold (part)	12/10/18	P1		
23. - Voya Securitized Credit Fund	E	Dividend	O	T	Buy (add'l)	11/20/18	K		
24. - Schwab U.S. Treasury Money Market Fund	A	Interest			Buy (add'l)	01/05/18	J		
25.					Sold (part)	01/09/18	J		
26.					Buy (add'l)	01/17/18	J		
27.					Buy (add'l)	01/18/18	J		
28.					Sold (part)	01/24/18	K		
29.					Buy (add'l)	02/01/18	J		
30.					Buy (add'l)	02/05/18	J		
31.					Buy (add'l)	02/16/18	J		
32.					Buy (add'l)	03/09/18	J		
33.					Buy (add'l)	03/28/18	J		
34.					Buy (add'l)	04/02/18	J		

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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	
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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35.					Buy (add'l)	04/03/18	J		
36.					Buy (add'l)	04/05/18	K		
37.					Buy (add'l)	04/17/18	J		
38.					Buy (add'l)	04/26/18	J		
39.					Buy (add'l)	05/01/18	J		
40.					Sold (part)	05/04/18	J		
41.					Buy (add'l)	05/16/18	J		
42.					Buy (add'l)	05/18/18	J		
43.					Buy (add'l)	06/15/18	J		
44.					Sold (part)	06/22/18	K		
45.					Buy (add'l)	06/28/18	J		
46.					Buy (add'l)	07/02/18	J		
47.					Sold (part)	07/16/18	J		
48.					Sold (part)	07/17/18	J		
49.					Buy (add'l)	07/18/18	M		
50.					Sold (part)	07/19/18	M		
51.					Buy (add'l)	07/26/18	J		

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52.					Buy (add'l)	08/01/18	J		
53.					Buy (add'l)	08/02/18	J		
54.					Buy (add'l)	08/16/18	J		
55.					Buy (add'l)	08/17/18	J		
56.					Sold	08/22/18	L		
57. - Schwab Government Money Market Fund	A	Interest	J	T	Sold (part)	01/05/18	J		
58.					Buy (add'l)	02/13/18	K		
59.					Sold (part)	02/14/18	K		
60.					Buy (add'l)	07/18/18	J		
61.					Sold (part)	07/19/18	J		
62.					Sold (part)	08/22/18	J		
63.					Buy (add'l)	12/11/18	K		
64.					Sold (part)	12/12/18	K		
65. - AT&T Inc New Common Stock	B	Dividend			Sold	12/14/18	K		
66. - AbbVie Inc Common Stock	B	Dividend	K	T					
67. - Abbott Laboratories Common Stock	A	Dividend	K	T					
68. - American International Group Common Stock	A	Dividend			Sold	12/14/18	K		

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69. - Apple Inc Common Stock	D	Dividend	N	T	Sold (part)	12/14/18	K		
70. - CVS Corporation Common Stock	C	Dividend	M	T					
71. - Coca Cola Co. Common Stock	C	Dividend	M	T					
72. - Colgate-Palmolive Co. Common Stock	A	Dividend	K	T					
73. - Comcast Corp. New Common Stock	C	Dividend	M	T					
74. - International Business Systems Stock (Y)									
75. - Marathon Petroleum Corp Common Stock	B	Dividend			Sold	12/14/18	K		
76. - MasterCard Inc Common Stock	A	Dividend	L	T					
77. - McDonald Corp Common Stock	B	Dividend	L	T					
78. - Microsoft Corp Common Stock	D	Dividend	N	T	Sold (part)	12/14/18	L		
79. - Pepsico, Inc Common Stock	D	Dividend	M	T					
80. - Proctor & Gamble Co Common Stock	C	Dividend	M	T					
81. - Sonic Corp Common Stock	A	Dividend			Sold	12/07/18	K		
82. - Spectrum Brands Holdings Inc Common Stock	A	Dividend			Sold	12/14/18	J		
83. - TJX Companies Inc Common Stock	A	Dividend	K	T					
84. - Visa, Inc Common Stock	B	Dividend	N	T					
85. - Wal-Mart Stores Inc Common Stock	A	Dividend			Sold	12/14/18	K		

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86. - Walgreens Boots Alliance Inc Common Stock	A	Dividend	K	T					
87. - FSC Retreat at Conroe, Conroe, TX (2014 \$75,000)	D	Rent	L	W					
88. - FSC Estates at Canyon Ridge, San Antonio, TX (2014 \$75,000)	C	Rent	L	W					
89. - FSC Vista Sureno, Phoenix, AZ (2015 \$75,000)	D	Rent	M	W					
90. - FSC Granada Hills, Los Angeles, CA (2015 \$75,000)	C	Rent	L	W					
91. - FSC Brightwater, Seattle, WA (2016 \$75,000)	D	Rent	L	W	Distributed (part)	04/04/18	K		
92. - FSC La Paloma, Albuquerque, NM (2016 \$75,000)	C	Rent	L	W	Distributed (part)	12/05/18	K		
93. - FSC Still Waters, Austin, TX (2017 \$125,000)	D	Rent	M	W					
94. - Guggenheim Macro Opportunities Fund	C	Dividend	N	T	Sold (part)	02/12/18	O		
95.					Buy (add'l)	12/10/18	N		
96. - Elements US Small Cap Portfolio	D	Dividend	N	T	Sold (part)	11/16/18	J		
97. - Elements International Portfolio	D	Dividend	O	T	Buy (add'l)	12/10/18	M		
98.					Buy (add'l)	12/17/18	N		
99. - Elements International Small Cap Portfolio	B	Dividend	M	T	Sold (part)	12/10/18	M		
100. - Elements Emerging Markets Portfolio	D	Dividend	N	T	Sold (part)	07/17/18	J		
101.					Sold (part)	12/10/18	J		
102. - PIMCO Total Return Fund	D	Dividend	P1	T	Buy	12/10/18	P1		

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103. - CrossBridge Low Duration High Yield Fund	B	Dividend	O	T	Buy	12/10/18	O		
104. - Brookfield Center Coast MLP Fund	B	Dividend	M	T	Buy	12/10/18	M		
105. - Robinson Tax Advantaged Income Fund	E	Dividend	N	T	Buy	02/13/18	O		
106.					Sold (part)	12/10/18	N		
107. - Goldman Sachs MLP Energy Infrastructure Fund	E	Dividend	M	T	Buy	05/23/18	N		
108.					Sold (part)	12/10/18	M		
109. - Doubleline Strategic Commodity Fund	B	Dividend	M	T	Buy	07/18/18	N		
110.					Sold (part)	12/10/18	M		
111. - ALPS CoreCommodity Management CompleteCommodities Strategy Fund	C	Dividend	M	T	Buy	12/10/18	M		
112. - Vanguard Emerging Markets Fund	A	Dividend	K	T	Buy	12/11/18	J		
113.					Buy (add'l)	12/17/18	K		
114. - Fidelity International Small Cap Fund	A	Dividend	M	T	Buy	12/11/18	M		
115.					Buy (add'l)	12/17/18	M		
116. Charitable Gift Account (H)									
117. - Schwab Charitable Equity Index Pool		None	J	T	Sold (part)	04/24/18	J		
118. - Schwab Charitable Income Pool		None	J	T	Sold (part)	04/24/18	J		
119.					Sold (part)	09/05/18	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	

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Name of Person Reporting

Freeman, Beth L.

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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)
120. - Schwab Charitable International Pool		None	J	T	Sold (part)	04/24/18	J		
121. - Schwab Charitable Money Market Pool		None	J	T	Sold (part)	04/24/18	J		
122. - Schwab Charitable Short Term Income Pool		None	J	T	Sold (part)	04/24/18	J		
123.					Sold (part)	08/07/18	J		
124.					Sold (part)	09/05/18	J		
125.					Sold (part)	11/19/18	J		
126. New Heights Associates LLC (Inherited)		None	M	W					
127. Jones Day Capital Account	D	Int./Div.	J	U	Sold (part)	12/31/18	J		
128. Jones Day 2015 Fund		None	N	T					
129. Wells Fargo Bank	A	Int./Div.	M	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 = \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I, line 2. Junior Statesmen Foundation Director term ended 12/31/17. Trustee term began 1/1/2018.

Part III-B. 2018 is first year of spouse's pension income.

Part VII. Oberweis International Opportunities Fund completely sold in 2017.

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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/ **Beth L. Freeman**

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