

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) PATEL, MARILYN H.	2. Court or Organization Northern District California	3. Date of Report 05/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active Judge USDC	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States District Court P.O. Box 36060 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. Insert signature on last page.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. Monthly	Union Bank of California 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. Fordham CLIP Board and Roundtable	March 24-25, 2011	New York, NY	Meeting	meals, lodging and transportation
2. 2011 District Conference	April 8-10, 2011	Monterey, CA	Conference	meals, lodging and transportation
3. The National Academy of Science	June 5-12, 2011	Washington, DC	Meeting	meals, lodging and transportation
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. Aegean Marine Petro Inc.		None			Sold	3/8/11	K		
2. Alexion Pharma Inc.		None			Buy	8/1/11	M		
3. Alexion Pharma Inc.		None			Sold	12/2/11	M		
4. Allegheny Tech Inc.	B	Dividend	N	T	Buy	8/1/11	N		
5. Alpha Natl. Resources		None			Buy	3/21/11	N		
6. Alpha Natl. Resources		None			Sold	7/27/11	N		
7. Alpha Natl. Resources		None	M	T	Buy	8/1/11	M		
8. Banco Bradesco	B	Dividend			Sold	3/8/11	M	E	
9. Bank of America	A	Dividend			Sold	3/8/11	M		
10. Bank of America	A	Dividend	L	T	Buy	7/12/11	M		
11. BB&T Corp.	B	Dividend			Sold	3/8/11	M		
12. BE Aerospace Inc.		None			Sold	5/5/11	M	D	
13. BE Aerospace Inc.		None	M	T	Buy	8/1/11	M		
14. Boeing	D	Dividend	N	T					
15. Borg Warner Inc.		None	M	T	Buy	8/1/11	M		
16. Carrizo Oil & Gas Inc.		None	M	T	Buy	8/1/11	M		
17. Chart Industries Inc.		None			Buy	8/1/11	M		

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 = \$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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☐ 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. Chart Industries Inc.		None			Sold	12/2/11	M	F	
19. Citigroup Inc.		None			Sold	3/8/11	L		
20. Citizens Rep. Bank Co.		None			Sold	3/8/11	J		
21. Cliffs Natural Res.Inc.	C	Dividend			Sold	3/8/11	M	F	
22. Cliffs Natural Res.Inc.		None			Buy	03/21/11	M		
23. Cliffs Natural Res.Inc.	C	Dividend			Sold	07/27/11	M	E	
24. Cliffs Natural Res.Inc.		None	N	T	Buy	08/01/11	N		
25. Dow Chemical Co.	C	Dividend			Sold	03/08/11	M	F	
26. Dow Chemical Co.		None			Buy	03/21/11	M		
27. Dow Chemical Co.	C	Dividend			Sold	07/21/11	M	D	
28. Dow Chemical Co.		None	M	T	Buy	08/01/11	M		
29. Eastman Chemical	D	Dividend			Sold	03/08/11	M	E	
30. Eastman Chemical		None			Buy	03/21/11	O		
31. Eastman Chemical	B	Dividend			Sold	07/27/11	O	F	
32. Eastman Chemical		None	M	T	Buy	08/01/11	N		
33. Eaton Corp		None			Buy	3/21/11	N		
34. Eaton Corp	C	Dividend			Sold	7/27/11	N	C	

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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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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. Eaton Corp		None	M	T	Buy	8/1/11	M		
36. EMC Corp.		None			Sold	3/8/11	K	E	
37. Emerson Electric Co.	A	Dividend			Sold	5/5/11	M	E	
38. Fifth Third Bancorp		None			Buy	3/21/11	M		
39. Fifth Third Bancorp	A	Dividend			Sold	5/5/11	M		
40. Fifth Third Bancorp		None	L	T	Buy	8/4/11	L		
41. Ford Motor Co.		None			Sold	5/5/11	L		
42. Ford Motor Co.		None	L	T	Buy	6/3/11	M		
43. Freeport McMoran	C	Dividend	M	T	Buy	8/1/11	N		
44. Gafisa SA		None			Sold	3/8/11	L	C	
45. General Cable	D	Dividend			Sold	5/5/11	M	F	
46. General Cable		None	M	T	Buy	8/1/11	M		
47. General Electric Co.	D	Dividend			Sold	5/5/11	M	F	
48. General Electric Co.		None	M	T	Buy	8/1/11	M		
49. Hartford Fnl. Services Grp.	A	Dividend			Sold	3/8/11	L	D	
50. Hartford Fnl. Services Grp.		None	K	T	Buy	7/27/11	L		
51. Honeywell Int'l	D	Dividend			Sold	5/5/11	N	G	

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. Honeywell Int'l		None	N	T	Buy	6/8/11	N		
53. Huntington Bancshs Inc.	A	Dividend			Sold	5/5/11	L	B	
54. Huntington Bancshs Inc.		None	L	T	Buy	7/21/11	L		
55. ICICI Bank LTD		None			Sold	3/8/11	M		
56. ING Groep NV		None			Sold	5/5/11	K		
57. JP Morgan Chase		None			Buy	3/21/11	N		
58. JP Morgan Chase	D	Dividend			Sold	7/27/11	M	C	
59. JP Morgan Chase		None	M	T	Buy	8/1/11	M		
60. Johnson Controls Inc.		None			Buy	3/21/11	M		
61. Johnson Controls Inc.	B	Dividend			Sold	5/5/11	M		
62. Johnson Controls Inc.		None	M	T	Buy	8/1/11	M		
63. Key Corp. Inc.	A	Dividend			Sold	3/8/11	M	F	
64. Kimco Realty Corp.	A	Dividend			Sold	2/28/11	M	E	
65. Kronos Worldwide	B	Dividend	L	T	Buy	8/1/11	M		
66. Las Vegas Sands		None			Sold	7/27/11	M	F	
67. Lyondell Basell Inds.		None			Buy	3/21/11	N		
68. Lyondell Basell Inds.	A	Dividend			Sold	7/27/11	N	D	

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69. Marshall & Ilsley Corp.		None			Sold	1/7/11	K		
70. Mechel OAO	B	Dividend			Sold	5/5/11	M		
71. Mechel OAO		None	K	T	Buy	8/1/11	L		
72. Methanex	B	Dividend	L	T					
73. Morgan Stanley	A	Dividend			Sold	3/8/11	M		
74. Peabody Energy Corp	A	Dividend			Sold	12/10/11	M		
75. Potash Corp. Sask.		None			Buy	3/21/11	M		
76. Potash Corp. Sask.	A	Dividend			Sold	5/5/11	M		
77. Regions Financial Corp.	A	Dividend			Sold	7/27/11	M	C	
78. Satyams Computer Svc		None			Sold	3/8/11	K		
79. Schwab Cash Res.	A	Dividend	M	T					
80. TE Connectivity Ltd.		None	L	T	Buy	8/1/11	M		
81. Unimproved Lot (See note in Section VIII)		None	L	W					Part VIII, #1
82. U.S. Bancorp.	B	Dividend			Sold	5/5/11	M	E	
83. U.S. Bancorp.		None	M	T	Buy	8/8/11	M		
84. Weatherford Intl. Ltd.		None			Buy	3/24/11	M		
85. Weatherford Intl. Ltd.		None			Sold	5/5/11	L		

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86. Webster Financial Corp.	A	Dividend			Sold	3/8/11	M	F	

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

1. Section VII (Investments and Trusts), No. 81: We have owned this lot since 1970. The value ascribed to it by the code reflects what appears to be values for other lots in the area that have gone on the market recently. It has not been appraised and the "current value" is only an approximation based on comparables.

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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/ MARILYN H. PATEL

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