

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) SEEBORG, RICHARD G.	2. Court or Organization U.S. District Court N.D. Cal.	3. Date of Report 05/01/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States Courthouse 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.)

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. 2012	Matthew Bender & Co., Inc. (Book Royalties)	\$2,043.70
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.				
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.	Wells Fargo Bank	17% of mortgage obligation on rental property, Kamuela, HI	L
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. Morgan Stanley Asset Fund (Money Market)	A	Interest	P1	T					
2. Schlumberger Ltd.	A	Dividend	K	T					
3. DWS World Dividend Fund (see Part VIII)	A	Dividend	J	T					
4. DWS Latin America Equity Fund (see Part VIII)	A	Dividend	L	T					
5. Templeton World Fund - Class I	A	Dividend	K	T					
6. Templeton Developing Market Trust Class A	A	Dividend	K	T					
7. Vanguard 500 Index Fund	B	Dividend	L	T					
8. Vanguard Growth Index Fund	A	Dividend	K	T					
9. Vanguard International Growth Fund	A	Dividend	K	T					
10. Vanguard U.S. Growth Fund	A	Dividend	K	T					
11. Wells Fargo Checking Account	A	Interest	K	T					
12. Emerson Electric	A	Dividend	J	T					
13. John Hancock Regional Bank Fund	A	Dividend	K	T					
14. JP Morgan Chase (formerly Bank One Corp)	A	Dividend	J	T					
15. Computer Sciences Corp.	A	Dividend	J	T					
16. Intel Corp	B	Dividend	K	T					
17. Invesco Comstock Fund	A	Dividend	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	C = \$2,501 - \$5,000 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	D = \$5,001 - \$15,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	E = \$15,001 - \$50,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000
2. Value Codes	N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. Invesco Small Cap Value Fund C (formerly Special Value Fund)	A	Dividend	K	T					
19. John Hancock Small Cap Value Fund	A	Dividend	K	T					
20. Invesco Global Core Equity Fund	B	Dividend	L	T					
21. MFS New Core Equity A	A	Dividend	L	T					
22. Peet's Coffee	A	Dividend			Sold	10/30/12	J	D	
23. Schell-Vista Fire Bond	A	Interest			Redeemed	03/01/12	K	A	
24. Van Kampen Senior Loan	A	Dividend	K	T					
25. Allianz Nacm Intern.	A	Dividend	J	T					
26. Chevron Corp	A	Dividend	K	T					
27. Clorox Corp	A	Dividend	K	T					
28. General Electric Corp	A	Dividend	K	T					
29. Morgan Stanley Focus Growth Fund	A	Dividend	J	T					
30. Diversified Dividend A Fund	A	Dividend	J	T					
31. Invesco Global Growth Fund A	A	Dividend	K	T					
32. Virtus	A	Dividend	J	T					
33. Mortgage Stanley Strategist Fund A	A	Dividend	K	T					
34. Invesco Global Core Equity Fund A	A	Dividend	K	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. One-sixth interest Condominium Kamuela, HI	D	Rent	L	W					
36. L.A. Water Dept Bond	C	Interest	L	T					
37. Manhattan Beach Water Bond	A	Interest			Redeemed	08/10/12	J	A	
38. Invesco Van Kampen Dynamic Credit Opp. Fund (see Part VIII)	B	Dividend	K	T					
39. BST Hospitality LLC	A	Distribution	M	U					
40. Nexpoint Credit Strategies Fun (see Part VIII)	A	Dividend	J	T					
41. Contra Costra Public Finance Bond (2 parts)	A	Interest	J	T					
42. Acalanes School Bond	C	Interest	L	T					
43. California Health Facilities Bond	C	Interest	M	T					
44. California State Public Works Bond	C	Interest	M	T					
45. Metropolitan Water District - So Cal Bond	B	Interest	L	T					
46. East Bay Municipal Utility District Bond	C	Interest	M	T					
47. Los Angeles Water and Power Bond 2026	B	Interest	L	T					
48. Pasadena Electric Bond	B	Interest	L	T					
49. Piedmont Unified School District Bond	B	Interest	L	T					
50. Santa Clara Electric Power Supply Bond	B	Interest	L	T	Buy	05/24/12	L		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Number 3, formerly Scudder Greater Europe Growth Fund

Part VII, Number 4, formerly Scudder Latin America Fund

Part VII, Number 38, formerly Van Kampen Dynamic Opp Fund

Part VII, Number 40, formerly Highland Credit Strategies Fund

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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/ **RICHARD G. SEEBORG**

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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