

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Ryu, Donna M.	2. Court or Organization United States District Court; Northern District of California	3. Date of Report 08/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address United States District Court 1301 Clay Street Oakland, CA 94612		
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. Co-Trustee	Revocable Trust Agreement [redacted] estate
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. July 2002	University of California Retirement Plan (pension on retirement)
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*

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. Brokerage Account - Indv.									
2. -Vanguard Bond ETF (BND)	A	Dividend			Sold	03/25/13	J	A	
3. -iShares MSCI EFA ETF (EFA)		None			Sold	03/25/13	J	A	
4. -iShares MidCap ETF (IJH)	A	Dividend			Sold	03/25/13	J	A	
5. -Money Market Fund (SWSXX)	A	Int./Div.	J	T					
6. -iShares Russel 2000 Value ETF (IWN)	A	Dividend			Sold	03/25/13	J	A	
7. -iShares Russel 1000 Value ETF (IWD)	A	Dividend			Sold	03/25/13	J	B	
8. -iShares Russel 1000 Growth ETF (IWF)	A	Dividend			Sold	03/25/13	J	A	
9. -Vanguard Emerging Markets ETF (VWO)	A	Dividend			Sold	03/25/13	J	A	
10. -Dimensional Funds Investment Grade Bond (DFAPX)	A	Dividend	J	T	Buy	03/25/13	J		
11. -Dimensional Funds Investment Grade Bond (DFAPX)					Buy (add'l)	10/21/13	J		
12. -Dimensional Funds Emerging Market (DFEVX)	A	Dividend	J	T	Buy	03/25/13	J		
13. -Dimensional Funds Int'l Value (DFIVX)	A	Dividend	J	T	Buy	03/25/13	J		
14. -Dimensional Funds US Large Value (DFLVX)	A	Dividend	J	T	Buy	03/25/13	J		
15. -Dimensional Funds US Small Value (DFS VX)	A	Dividend	J	T	Buy	03/25/13	J		
16. -Dimensional Funds Int'l Small Value (DIS VX)	A	Dividend	J	T	Buy	03/25/13	J		
17.									

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 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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. Brokerage Account - SEP IRA									
19. -Vanguard Bond ETF (BND)	A	Dividend			Sold	03/14/13	K	D	
20. -iShares MSCI EFA ETF (EFA)		None			Sold	03/14/13	L	D	
21. -iShares MidCap ETF (IJH)		None			Sold	03/14/13	K	C	
22. -Money Market Fund (SWGXX)	A	Dividend	J	T					
23. -iShares Russel 1000 Growth ETF (IWF)		None			Sold	03/14/13	L	D	
24. -iShares Russel 2000 Value ETF (IWN)		None			Sold	03/14/13	K	B	
25. -Vanguard Emerging Markets ETF (VWO)		None			Sold	03/14/13	J	B	
26. -iShares Russel 1000 Value ETF (IWD)		None			Sold	03/14/13	L	D	
27. -Dimensional Funds Investment Grade Bond (DFAPX)	B	Dividend	L	T	Buy	03/14/13	L		
28. -Dimensional Funds Emerging Market (DFEVX)	B	Dividend	K	T	Buy	03/14/13	K		
29. -Dimensional Funds Emerging Market (DFEVX)					Buy (add'l)	06/27/13	J		
30. -Dimensional Funds Int'l Value (DFIVX)	B	Dividend	K	T	Buy	03/14/13	K		
31. -Dimensional Funds US Large Value (DFLVX)	B	Dividend	L	T	Buy	03/14/13	L		
32. -Dimensional Funds US Small Value (DFS VX)	C	Dividend	L	T	Buy	03/14/13	L		
33. -Dimensional Funds Int'l Small Value (DIS VX)	C	Dividend	L	T	Buy	03/14/13	L		
34.									

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	
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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)

35. Brokerage Account - Roth IRA									
36. -Vanguard Bond ETF (BND)	A	Dividend			Sold	03/14/13	J	A	
37. -iShares Emerging Markets ETF (EEM)	A	Dividend			Sold	03/14/13	J	A	
38. -iShares MSCI EFA ETF (EFA)		None			Sold	03/14/13	J	A	
39. -iShares MidCap ETF (IJH)		None			Sold	03/14/13	J	A	
40. -Money Market Fund (SWGXX)	A	Dividend	J	T					
41. -iShares Russel 1000 Value ETF (IWD)		None			Sold	03/14/13	J	A	
42. -iShares Russel 1000 Growth ETF (IWF)		None			Sold	03/14/13	J	A	
43. -iShares Russel 2000 Value ETF (IWN)		None			Sold	03/14/13	J	A	
44. -Dimensional Funds Global Allocation (DGSIX)	A	Dividend	J	T	Buy	03/14/13	J		
45. -Dimensional Funds Selectively Hedged (DSHGX)	A	Dividend	J	T	Buy	03/14/13	J		
46.									
47. University of California CAP									
48. -Fixed Account (no selection of funds available)	A	Interest	J	T					
49.									
50. 529 College Savings Plan									
51. -Age Based Portfolio - 18 & Over Index			J	T	Buy	01/02/13	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	
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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				
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52. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	01/03/13	J		
53. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	01/24/13	J		
54. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	02/12/13	J		
55. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	02/25/13	J		
56. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	03/27/13	J		
57. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	04/29/13	J		
58. -Age Based Portfolio - 18 & Over Index		None			Distributed (part)	05/15/13	J		
59.									
60. Wells Fargo Bank Accounts	A	Int./Div.	J	T					
61.									
62. Provident Credit Union Accounts	A	Int./Div.	J	T					
63.									
64. ING Direct Accounts	A	Int./Div.	L	T					
65.									
66.									
67.									
68.									

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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69.									

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

Part I, and Part VII.

Part I:

Line 1: Trust for the benefit of [REDACTED]

-I am not the owner or grantor of the trust, I am solely the co-trustee of a revocable trust created for the benefit of a [REDACTED]

-I am a co-trustee for the convenience of [REDACTED], and I have not received any income through the trust or trust assets. In an abundance of caution, I had previously listed the trust property [REDACTED] in Section VII, but that have since been instructed not to list the house in Section VII, since it is not an investment, and I do not receive any income of any kind from the house or the trust.

PartVII:

Lines 37-48: The University of California Capital Accumulation Provision (CAP) account is a supplemental benefit plan held by the University of California. I have no input in selecting how these funds are invested.

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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/ **Donna M. Ryu**

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