

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) Rogers, Yvonne G.	2. Court or Organization District Court for Northern District of California	3. Date of Report 5/5/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III	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 1301 Clay Street Room 490C Oakland, California 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. Trustee	Trust No. 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. 2016	McKinsey & Company - Salary
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. American Law Institute	Jan. 20-22, 2016	Philadelphia, PA	Council Meeting	Transportation, Meals, Lodging
2. Princeton University	Jan. 28-30, 2016	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging
3. Princeton University	Feb. 19-21, 2016	Princeton, New Jersey	Conference	Transportation, Meals, Lodging
4. Princeton University	March 30-April 2, 2016	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging
5. Princeton University	May 29-31, 2016	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging
6. Princeton University	September 22-25, 2016	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, Lodging

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7.	University of Houston Law Center	October 6-9, 2016	Houston, Texas	Conference	Transportation, Meals, Lodging
8.	Princeton University	November 17-19, 2016	Princeton, New Jersey	Trustee Meeting	Transportation, Meals, 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.	Citibank, N.A.	McKinsey Partnership Shares Loan	J
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. Citibank Checking and Money Market Accounts	A	Int./Div.	L	T					
2. Bank of America Checking	A	Int./Div.	K	T					
3. Trust No. 1									
4. -Vanguard CA IT Tax Exempt	C	Dividend	M	T	Buy	01/04/16	M		
5. -Vanguard Total International Stock Index	F	Dividend	P1	T	Buy (add'l)	01/04/16	O		
6.					Buy (add'l)	06/27/16	N		
7.					Buy (add'l)	06/27/16	M		
8.					Buy (add'l)	12/12/16	N		
9. -Vanguard 500 Index Fund	E	Dividend	O	T					
10. -Vanguard Extended Market Index	D	Dividend	O	T					
11. - Vanguard Emerging Markets Index	D	Dividend	N	T	Buy (add'l)	01/04/16	L		
12. -Vanguard IRA: Inflation Protect Sec Adm	E	Dividend	N	T	Buy (add'l)	12/19/16	M		
13. -Vanguard: Total Bond Market Index (variable annuity)		None	M	T					
14. -Vanguard IRA: Total Bond Market Index	D	Dividend			Sold	12/19/16	M		
15. -Vanguard 500 Index Fund (retirement)	A	Dividend	J	T					
16. -Vanguard 529 - Aggressive Growth Port - Age-Based 21		None	M	T	Sold (part)	07/19/16	J	B	
17.					Sold (part)	11/29/16	J	B	

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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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. -Vanguard 529 - Aggressive Growth Port - Age-Based 18		None	M	T	Sold (part)	8/2/16	K	C	
19. -Vanguard 529 - Moderate Growth - Port Age-Based 15		None	M	T					
20. -Wells Fargo Money Market Account	A	Interest	P1	T					
21. -Rental Prop, San Antonio, TX (assessment 12/16: \$120,530)	D	Rent	M	S					
22. McKinsey & Company Special Situations Aggressive Long-Term	G	Dividend	P1	T					
23. McK Spec Sit Retirement (Ind)		None	P1	T	Buy (add'l)	01/31/16	J		
24.					Buy (add'l)	2/29/16	J		
25.					Buy (add'l)	03/31/16	J		
26.					Buy (add'l)	12/31/16	K		
27. McKinsey Partnership Shares	B	Dividend	O	U					
28. McKinsey Partnership Debt	D	Interest	P1	T	Buy (add'l)	12/31/16	O		

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

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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/ Yvonne G. Rogers**

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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