

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) Tigar, Jon S.	2. Court or Organization U.S. District Court for the Northern District of California	3. Date of Report 01/03/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2016 to 12/31/2016
5b. ☒ Amended Report		
7. Chambers or Office Address 450 Golden Gate Avenue, 19th Floor 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Trust #1
2.	Director	Trust #2
3.	Director	Trust #3
4.		
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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. 2016	Matthew Bender	\$4,413.91
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	The Durfee Foundation - 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 Bar Association, Section of Antitrust	August 8-11, 2016	Ojai, CA	Attend Section Leadership Meeting	Transportation, meals, hotel
2. American Bar Association, Section of Litigation	October 6-9, 2016	Austin, TX	Attend Section Leadership Meeting	Transportation, meals, hotel
3. German-American Lawyers Association	October 12-16, 2016	Cambridge, MA	Attend conference and give judicial lecture	Transportation, meals, hotel
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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. DFA Commodity Strategy Portfolio	A	Dividend	K	T	Buy	02/16/16	K		
2. DFA Emerging Markets Portfolio	A	Dividend	K	T	Buy	02/16/16	K		
3. DFA International Small Company Portfolio	B	Dividend	K	T	Buy	02/16/16	K		
4. IndexIQ Merger Arbitrage ETF	A	Dividend	K	T	Buy	02/16/16	K		
5. iShares 1-3 Year Credit Bond	C	Dividend	N	T					
6. Pimco Stocksplus Intl Fd Usd Hedged D	A	Dividend	M	T					
7. PRIMECAP Odyssey Aggressive Growth Fund	D	Distribution	M	T					
8. Thompson Bond Fund (X)	C	Dividend	L	T					
9. TIAA-CREF Traditional Annuity		None	K	T					
10. Vanguard Dividend Appreciation Index Fund	A	Dividend			Sold	02/16/16	L	E	
11. Vanguard FTSE All-World ex-US Index Fund	A	Dividend	K	T	Buy	02/16/16	J		
12. Schwab Money Market Accounts -- Cash	A	Int./Div.	J	T					
13. Bank of America Accounts	A	Interest	J	T					
14. Trust #1									
15. -- Artisan Global Opportunities Fund	A	Distribution	M	T					
16. -- Avery Dennison Corp Common Stock	C	Dividend	O	T					
17. -- Cohen & Steers Realty Shares		None			Sold	02/16/16	L		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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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)

18. -- DFA Commodity Strategy Portfolio	A	Dividend	L	T	Buy	02/16/16	K		
19. -- DFA Emerging Markets Portfolio	A	Dividend	L	T	Buy	02/16/16	L		
20. -- DFA Global Real Estate Securities Portfolio	D	Dividend	M	T	Buy	02/16/16	M		
21. -- DFA International Small Company Portfolio	A	Dividend	L	T	Buy	02/16/16	K		
22.					Buy	06/08/16	L		
23. -- Eaton Vance Tax- Managed Emerging Markets Fund		None			Sold	02/16/16	K		
24. -- IndexIQ Merger Arbitrage ETF	A	Dividend	L	T	Buy	02/16/16	L		
25. -- Janus Flexible Bond Fund	B	Distribution			Sold	02/16/16	N		
26. -- Oakmark Global Fund	A	Dividend	L	T					
27. -- PRIMECAP Odyssey Aggressive Growth Fund	E	Dividend	M	T					
28. -- Schwab Fdmtl US Sm Co Idx		None			Sold	06/08/16	L	A	
29. -- Schwab 1000 Index Fund	E	Dividend	O	T	Sold (part)	02/16/16	M	E	
30. -- Vanguard Dividend Appreciation Index Fund	C	Dividend	M	T	Sold (part)	06/08/16	M	F	
31. -- Vanguard FTSE All-World ex-US Index Fund	C	Dividend	M	T	Buy	02/16/16	M		
32. -- Vanguard Mid-Cap Index Fund	A	Dividend	M	T					
33. -- Vanguard Short-Term Investment-Grade Fund	D	Dividend	N	T	Buy	02/16/16	N		
34. -- Vanguard Small-Cap Growth Index Fund	B	Dividend	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

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35. -- Schwab Money Market Fund	A	Int./Div.	L	T					
36. Trust #2 (X)									
37. -- Avery Dennison Common Stock	A	Dividend	K	T					
38. -- Janus Flexible Bond Fund	A	Dividend	K	T					
39. -- Vanguard Dividend Appreciation Index Fund	A	Dividend	K	T					
40. -- Schwab Money Market Fund	A	Int./Div.	J	T					
41. Trust #3 (X)									
42. -- Artisan Global Oppty Inv Cl	A	Dividend	L	T					
43. -- Driehaus Emerging Markets Growth Fund	A	Dividend	J	T					
44. -- iShares Core S&P 500	B	Dividend	L	T					
45. -- Janus Flexible Bond Fund	A	Dividend	K	T					
46. -- PRIMECAP Odyssey Aggressive Growth Fund	A	Dividend	L	T					
47. -- Schwab Fdmtl US Sm Co Idx	A	Dividend	K	T					
48. -- Vanguard Dividend Appreciation Index Fund	A	Dividend	K	T					
49. Schwab Money Market Fund	A	Int./Div.	L	T					
50. Trust #4 (X)									
51. -- Arbitrage Fund Class I	A	Distribution	K	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
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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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

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52. -- DFA Global Real Estate Securities I	B	Distribution	K	T					
53. -- PIMCO Commodity Real Return Strategy Fund	A	Distribution	J	T					
54. -- Vanguard 500 Index Fund	B	Distribution	M	T					
55. -- Vanguard Extended Market Index Fund	A	Distribution	L	T					
56. -- Vanguard FTSE All-World Ex-US Index Fund	C	Distribution	M	T					
57. -- Vanguard Short Term Investment Grade Fund	B	Distribution	L	T					
58. -- Vanguard Small Cap Index Fund	A	Distribution	L	T					
59.									
60.									
61.									
62.									
63.									
64.									
65.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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

The assets contained in Trust # 2, listed beginning at line 31 of last year's report, have been distributed to the beneficiary, who is no longer a dependent of the reporting party. Therefore, those assets do not appear on this year's report. Similarly, the assets contained in Trust #3, listed beginning at line 39 of last year's report, have been distributed to the beneficiary, who is no longer a dependent of the reporting party. Therefore, those assets do not appear on this year's report. To avoid confusion, the trust designated as "Trust #4" has been re-designated "Trust #2"; the trust designated as "Trust #5" has been re-designated "Trust #3"; and the trust designated as "Trust #6" has been re-designated "Trust #4" in this year's report.

Schwab Money Market Accounts from the individually owned accounts and trusts reported on this year's disclosure were previously aggregated on line 9 of Section VII of the 2015 report. Schwab Money Market Accounts are now listed individually for each individually owned account or trust.

The Thompson Bond Fund reported at line 8 was purchased on May 4, 2015 in the amount of \$100,000 and was inadvertently omitted from last year's report.

The Ridgeworth Intermediate Bond Fund listed on line 22 of last year's report was sold 5/4/15 but inadvertently included in the 2015 report. It does not appear here.

The Wasatch Small Cap Growth Index Fund listed on line 30 of last year's report was listed in error. It does not appear here.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Tigar, Jon S.

Date of Report

01/03/2018

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/ Jon S. Tigar**

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