# Lucy H. Koh, 2012 Financial Disclosure, CA Dist. Judge

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ic H. Holder, 2008 Financial Disclosure  Legend:		X = stock	or bond (	(column) held b	by the fund (	row)	7 7 7	<del>/                                    </del>	7	<del>`                                    </del>		$\frac{7}{1}$	1 (	7 7 <b>v</b>	7 7/ 3/	777	<del>'/                                    </del>		7 7	7/ 5%	77	<del>7                                    </del>	<del>7 7</del>		K	$\overline{}$		M	N A	1 0	P1	<u> </u>	$\dashv$
come and Value:			,			,																											
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anford Federal Credit Union Accounts																								15,000								\$ 15,	,000
ate of California Savings Plus Program																								15,000								\$ 15,	
nerican Funds Washington Mutual R5	RWMFX			x						x	Х								хх	(	x	Х		-,	50,00	00							,000
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dge & Cox Balanced	DODBX								Х	X	х х		Х	Х	х	х			Х	( X	Х	Х	Х		50,00								,000
MCO Total Return Instl	PTTRX								Х	х									Х	(							100,000					\$ 100,	,000
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(59.1%) Vanguard Total Stock Market Index Fund	VTSMX	хх		х						х	Х	Х	х			X			X X	(	х	Х			50,00	00						\$ 50,	
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	ow TIAA CREF	х															хх							15,000								\$ 15,	
nguard Target Retirement 2035	VTTHX	х														X								-,				250,	,000			\$ 250,	
Judges Retirement System II																								-								\$	-
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RANK	NAME	AUM	FB SHARES AS OF JUNE 30
1	Goldman Sachs Asset Management, L.P. (U.S.)	82,329.1	36,634,486.0
2	Baillie Gifford & Company	60,809.1	19,380,440.0
3	Fidelity Management & Research Company	544,656.5	18,774,915.0
4	T. Rowe Price Associates, Inc.	338,744.6	18,663,997.0
5	Morgan Stanley Investment Management, Inc. (U.S.) 54,113.2	54,113.2	16,362,788.0
6	BlackRock Fund Advisors	768,143.8	11,690,656.0
7	Sands Capital Management, LLC	22,157.4	11,649,292.0
8	Jennison Associates, LLC	80,316.4	9,691,825.0
9	The Vanguard Group, Inc.	908,526.5	9,582,480.0
10	Capital Research Global Investors (U.S.)	366,059.2	8,273,200.0

AO 10 Rev. 1/2012

# 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)	2. Court or Organization	3. Date of Report
Koh, Lucy H.	District Court Northern California	05/24/2012
Title (Article III judges indicate active or senior status;     magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
	Nomination Date	01/01/2011
U.S. District Judge Active	Initial Annual Final	to 12/31/2011
	5b. Amended Report	
7. Chambers or Office Address		
280 South First Street San Jose, California 95113		
	ctions accompanying this form must be followed. Complete a rt where you have no reportable information. Insert signatur	
I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing	instructions.)	
NONE (No reportable positions.)		
<u>POSITION</u>	NAME OF ORGAN	IZATION/ENTITY
1. U.S. District Judge	U.S. District Court, Northern District of Cali	fornia
2.		
3.		
4.		
5.		
II. AGREEMENTS. (Reporting individual only; see pp. 14-1	6 of filing instructions.)	
<b>✓</b> NONE (No reportable agreements.)		
<u>DATE</u>	PARTIES AND TERMS	
1.		
2.		
3.		

# Name of Person Reporting Date of Report FINANCIAL DISCLOSURE REPORT Page 2 of 6 Koh, Lucy H. 05/24/2012 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) 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.) **SOURCE AND TYPE DATE** 1.2011 Stanford University -- salary 2.2011 Korea University -- salary 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**

Cambridge, Massachusetts

Visiting Committee

Meals, Hotel, Transportation

1. Harvard Law School

March 28-30, 2012

FINANCIAL DISCLOSURE I Page 3 of 6	REPORT Name of Person Reporting Koh, Lucy H.	Date of Report 05/24/2012
V. GIFTS. (Includes those to spouse and depen	ndent children; see pp. 28-31 of filing instructions.)	
✓ NONE (No reportable gifts.)		
<u>SOURCE</u>	DESCRIPTION	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		
VI. LIABILITIES. (Includes those of sp. NONE (No reportable liabilities)	oouse and dependent children; see pp. 32-33 of filing instructions.)	
CREDITOR	DESCRIPTION	<u>VALUE CODE</u>
1. U.S. Department of Education	Direct Student Loan	К
2. Fidelity Investments	Loan against retirement account	К
3.		
4.		

5.

### FINANCIAL DISCLOSURE REPORT

Page 4 of 6

Name of Person Reporting

Koh, Lucy H.

Date of Report

05/24/2012

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

	A.		B.	(	C.			D.		
	Description of Assets	Incom	ne during		lue at end		Transactio	ons during	reporting po	eriod
	(including trust assets)	report	ing period	of report	ing period					
	Place "(X)" after each asset exempt from prior disclosure	(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 I (A II)	(5) Identity of buyer/selle (if private transaction
•	Wells Fargo Accounts	A	Interest	J	Т					
	Stanford Federal Credit Union Accounts	A	Interest	J	Т					
	State of California Savings Plus Program		None ·	J	Т					
١.	American Funds Washington Mutual R5		None	К	Т					
j.	IronBridge Frontegra Small Cap		None	К	Т					
j.	Dodge & Cox Balanced		None	К	Т					
7.	PIMCO Total Return Instl		None	L	Т					
	Vanguard Target Retirement 2035 Inv		None	К	Т					
).	PIMCO Total Return Admin		None	J	Т					
0.	Aston Fairpointe Mid Cap		None	K	Т	Buy	04/07/11	K		
1.	AllianceBernstein CollegeBoundfund Moderate Growth 2002-04		None	К	Т					
12.	Fidelity ScholarShare Advisor Calif. 529 Portf. 2025 Class B		None	J	Т					
3.	Vanguard Target Retirement 2035		None	М	Т					
4.	CA Judges Retirement System II		None			Redeemed	3/16/11	К		
15.										
16.										
17.						i	1	i	<del>i i</del>	

1. Income Gain Codes: (See Columns B1 and D4)

2 Value Codes (See Columns C1 and D3)

3 Value Method Codes (See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J \$15,000 or less

N = \$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U = Book Value

B =\$1,001 - \$2,500

G = 100,001 - 1,000,000

K =\$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

III =\$1.000,001 - \$5,000.000

L=\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000 P4 = More than \$50,000,000

S =Assessment

w =Estimated

D=\$5.001 - \$15,000

112 = More than \$5.000.000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 5 of 6

Name of Person Reporting	Date of Report
Koh, Lucy H.	05/24/2012

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

VII. Investments and Trusts

On March 16, 2011, I redcemed my California Judges Retirement System II funds because I had retired from the California Judiciary to join the federal judiciary. These funds were rolled over into an IRA account and invested in the Aston Fairpointe Mid Cap mutual fund on April 7, 2011.

#### FINANCIAL DISCLOSURE REPORT

Page 6 of 6

Name of Person Reporting	Date of Report
Koh, Lucy H.	05/24/2012

#### 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/ Lucy H. Koh

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