



**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2011**

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b>  Koh, Lucy H.	<b>2. Court or Organization</b>  District Court -- Northern California	<b>3. Date of Report</b>  05/24/2012
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  U.S. District Judge -- Active	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input checked="" type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2011 to 12/31/2011
<b>7. Chambers or Office Address</b>  280 South First Street San Jose, California 95113		
<p align="center"><b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i></p>		

**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. U.S. District Judge	U.S. District Court, Northern District of California
2.	
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 6

<i>Name of Person Reporting</i> Koh, Lucy H.	<i>Date of Report</i> 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
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. 2011	Stanford University -- salary
2. 2011	Korea University -- salary
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. Harvard Law School	March 28-30, 2012	Cambridge, Massachusetts	Visiting Committee	Meals, Hotel, Transportation
2.				
3.				
4.				
5.				

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 6

Name of Person Reporting

Koh, Lucy H.

Date of Report

05/24/2012

**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.	U.S. Department of Education	Direct Student Loan	K
2.	Fidelity Investments	Loan against retirement account	K
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.)

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
		Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (I-P)	Gain Code 1 (A I)	Identity of buyer/seller (if private transaction)
1.	Wells Fargo Accounts	A	Interest	J	T					
2.	Stanford Federal Credit Union Accounts	A	Interest	J	T					
3.	State of California Savings Plus Program		None	J	T					
4.	American Funds Washington Mutual R5		None	K	T					
5.	IronBridge Frontegra Small Cap		None	K	T					
6.	Dodge & Cox Balanced		None	K	T					
7.	PIMCO Total Return Instl		None	L	T					
8.	Vanguard Target Retirement 2035 Inv		None	K	T					
9.	PIMCO Total Return Admin		None	J	T					
10.	Aston Fairpointe Mid Cap		None	K	T	Buy	04/07/11	K		
11.	AllianceBernstein CollegeBoundfund Moderate Growth 2002-04		None	K	T					
12.	Fidelity ScholarShare Advisor Calif. 529 Portf. 2025 Class B		None	J	T					
13.	Vanguard Target Retirement 2035		None	M	T					
14.	CA Judges Retirement System II		None			Redeemed	3/16/11	K		
15.										
16.										
17.										

1. Income Gain Codes: (See Columns B1 and D4)	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 H = \$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 I12 = 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 <b>Koh, Lucy H.</b>	Date of Report 05/24/2012
---	------------------------------

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

VII. Investments and Trusts

On March 16, 2011, I redeemed my California Judges Retirement System 11 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

Koh, Lucy H.

Date of Report

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