AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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
Gilliam Jr., Haywood S.	U.S. District Court, Northern District of California	04/06/2022
4. 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**
U.S. District Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
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.	Trustee	Trust #1 (no reportable assets)
2.	Board President	Northern District of California Practice Program
3.	Board of Governors Member	Association of Business Trial Lawyers Northern California Chapter
4.	At Large Director	Federal Judges Association
5.		

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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)
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.)*

	DATE	SOURCE 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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Gilliam Jr., Haywood S.	04/06/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Individual Assets (H)									
2. Citibank cash accounts (cash)	A	Interest	M	T					
3. Chase cash accounts (cash)	A	Interest	J	T					
4. Security Benefit Life Total Value Annuity (fixed annuity)	A	Interest	L	T					
5. Account #1 (H)									
6. Cetera Deposit Sweep Account (cash)	A	Interest	J	T					
7. American Funds American Balanced Fund Class F-2 (AMBFX)	C	Dividend	L	T	Sold (part)	05/24/21	J	A	
8.					Sold (part)	07/26/21	J	A	
9. American Funds Strategic Bond Fund Class F-2 (ANBFX)	A	Dividend	K	T	Buy	04/30/21	K		
10. American Funds The Bond Fund of America Class F-2 (ABNFX)	B	Dividend	K	T	Sold (part)	04/30/21	K	A	
11. American Funds Capital Income Builder Fund Class F-2 (CAIFX)	B	Dividend	L	T					
12. American Funds Capital World Growth & Income Fund Class F-2 (WGIFX)	D	Dividend	M	T	Sold (part)	01/25/21	J	A	
13.					Sold (part)	04/23/21	J	A	
14.					Sold (part)	04/30/21	K	D	
15.					Sold (part)	10/25/21	J	A	
16. American Funds The Growth Fund of America Class F-2 (GFFFX)	C	Dividend	K	T	Sold (part)	01/25/21	J	A	
17.					Sold (part)	04/30/21	K	D	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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Gilliam Jr., Haywood S.	04/06/2022

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

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	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	American Funds The Investment Company of America Class F-2 (ICAFX)	D	Dividend	M	T	Sold (part)	03/24/21	J	A	
19.						Sold (part)	04/23/21	J	A	
20.						Sold (part)	04/30/21	K	D	
21.						Sold (part)	07/26/21	J	A	
22.						Sold (part)	08/24/21	J	A	
23.						Sold (part)	10/25/21	J	A	
24.						Sold (part)	11/23/21	J	A	
25.	Miller Convertible Bond Fund Class I (MCIFX)	E	Dividend	N	T					
26.	American Funds Small-Cap Word Fund Class F-2 (SMCFX)	E	Dividend	K	T	Sold (part)	02/22/21	J	A	
27.						Buy (add'l)	04/30/21	J		
28.						Sold (part)	09/23/21	J	A	
29.	Washington Mutual Investors fund Class F-2 (WMFFX)	C	Dividend	L	T	Buy	04/30/21	L		
30.						Sold (part)	10/25/21	J	A	
31.						Sold (part)	12/27/21	J	A	
32.	Account #2 (H)									
33.	HCM Income Plus Fund Class A (HCMEX)	A	Dividend	K	T					
34.	HCM Dividend Sector Plus Fund Class A (HCMNX)	A	Dividend	K	T					

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35. HCM Tactical Growth Fund Class A (HCMGX)	A	Dividend	K	T					
36. SPDR Ser Tr Bloomberg Barclays US Conv Liquid BD Index (CWB)	A	Dividend	K	T					
37. Account #3 (H)									
38. Cousins PPTYS Inc Com New (CUZ)	A	Dividend	J	T					
39. Gamco Global Gold, Natural Resources and Income Trust (GGN)	A	Dividend	J	T					
40. Account #4 (H)									
41. American Funds College Enrollment Fund-529A (CENAX)	B	Dividend	M	T	Sold (part)	06/02/21	J		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ Haywood S. Gilliam Jr.

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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