AO 10
Rev. 1/2022

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
Orrick, William H.	U.S. District Court, Northern District of California	04/26/2022
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	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States District Court, Northern District of California 450 Golden Gate Avenue 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust #1
2.	Trustee	Trust #2
3.	Co-Trustee	Trust #3
4.	Trustee	Trust #4
5.	Trustee	Trust #5
6.	Trustee	Trust #6

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Orrick, William H.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1. First Republic checking accounts	A	Interest	L	T					
2. Beneficial State Bank (f k a OnePacificCoast Bank) accounts	A	Interest	K	T					
3. Rental property #1, [redacted]	E	Rent	P1	W					
4. Vanguard Int'l Growth Fund	E	Dividend	N	T					
5. Vanguard Int'l Growth Fund	E	Dividend	M	T					
6. Dodge & Cox Stock Fund	D	Dividend	N	T					
7.									
8. 401K #1(H)									
9. - Dodge & Cox Stock Fund	E	Dividend	P1	T					
10. - Fidelity Diversified International Fund	D	Dividend	O	T					
11. - Fidelity 500 Index Fund	E	Dividend	P1	T					
12. - Vanguard Total Bond Market	C	Int./Div.	M	T					
13.									
14. 401k#2(H)									
15. -Vanguard Target 2020 Fund	G	Dividend	O	T					
16. -Vanguard Int'l Growth Fund	E	Dividend	N	T					
17.									

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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Orrick, William H.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18. Trust #1(H)									
19. -12% interest in rental property #1, [redacted]		None	P1	W					
20. - General Electric Com	A	Dividend	L	T					
21. - IBM Com	D	Dividend	M	T					
22. - Eli Lilly & Co Com	C	Dividend	N	T					
23. - Merck & Co Com	B	Dividend	L	T					
24. - Pfizer Com	C	Dividend	M	T					
25. - Proctor & Gamble Com	D	Dividend	M	T	Sold (part)	01/04/21	L	F	
26. -Vanguard Index	B	Dividend	M	T					
27. - First Republic Bank account	A	Interest	J	T					
28.									
29. Trust #2(H)									
30. -3M Co Com	B	Dividend	K	T					
31. - American Express Co Com	A	Dividend	L	T					
32. -AT&T	D	Dividend	K	T	Sold (part)	05/26/21	K	C	
33.					Sold (part)	11/03/21	J	A	
34. - Bank of America Com	B	Dividend	M	T					

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)
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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35. -Bank of New York Mellon Com	B	Dividend	L	T					
36. - Boston Scientific Corp Com		None	K	T					
37. - Cadence Design System Inc Com		None	M	T					
38. - Capital One Fin'l Corp Com	B	Dividend	L	T					
39. - Charles Schwab Corp	B	Dividend	M	T					
40. - Charter Communications		None	M	T					
41. -Cisco Systems	B	Dividend	L	T					
42. -Comcast Corp new CLA com	C	Dividend							
43. - Corning	A	Dividend	K	T					
44. -Corteva	A	Dividend	K	T					
45. - Diageo PLC Spon ADR New	A	Dividend	K	T					
46. -Dodge and Cox Stock Fund	D	Dividend	N	T					
47. Dow Inc	A	Dividend	K	T					
48. - Dupont DeNemours Inc	A	Dividend	K	T					
49. - Eli Lilly Com	A	Dividend	L	T					
50. - Fedex Corp Com	B	Dividend	M	T					
51. - General Electric Com	A	Dividend	K	T					

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52. -Hewlett Packared Ente	A	Dividend	K	T					
53. - Home Depot Inc Com	B	Dividend	M	T					
54. - HP Inc.	B	Dividend	M	T					
55. - IBM Com	B	Dividend	K	T					
56. -Kyndryl Holdings (X)	A	Dividend	J	T	Spinoff (from line 55)	10/25/21	J		
57. - Johnson Controls Interactive	A	Dividend	K	T					
58. - Quarate Retail (f.k.a. Liberty Interactive Corporation Int Com Ser A	B	Dividend	J	T	Sold (part)	04/27/21	J	B	
59. - Medtronic, Inc Com	B	Dividend	L	T					
60. - Merck & Co New Com	C	Dividend	L	T					
61. -Organon (X)					Spinoff (from line 60)	06/03/21	J		
62.					Sold	06/29/21	J	B	
63. - Microsoft Com	C	Dividend	N	T	Sold (part)	04/14/21	K	E	
64.					Sold (part)	08/16/21	J	D	
65. -NetApp	A	Dividend	K	T					
66. -Novartis ADR	C	Dividend	L	T					
67. - Pfizer Com	C	Dividend	M	T					
68. - Proctor & Gamble Com	B	Dividend	L	T					

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
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69. - Roche Hldg Ltd Spon ADR	B	Dividend	L	T					
70. - Sanofi Spon ADR	B	Dividend	K	T					
71. - Target Corp Com	A	Dividend	N	T					
72. - TE Connectivity Ltd Reg com shs	B	Dividend	L	T					
73. - Travelers Companies Inc Com	A	Dividend	K	T					
74. -Truist Fin'l Corp	C	Dividend	L	T					
75. - Union Pacific Com	B	Dividend	M	T					
76. - United Health Group	B	Dividend	M	T					
77. - US Bancorp Del com new	A	Dividend	K	T					
78. -Viatris	A	Dividend	J	T					
79. - Vulcan Materials Co Com	A	Dividend	L	T					
80. -Walt Disney Cor	B	Dividend	L	T					
81. -Wells Fargo & Co	B	Dividend	M	T					
82. - Schwab CA Muni Money Fund	A	Interest	L	T					
83.									
84. Trust # 3(H)									
85. - 3M Co Com	B	Dividend	K	T					

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86. - American Express Co Com	A	Dividend	K	T					
87. - Capital One Fin'l Corp Com	B	Dividend	L	T					
88. - Charter Communications		None	K	T					
89. - Charles Schwab Corp new com	A	Dividend	M	T					
90. - Comcast Corp new cl A com	C	Dividend	M	T	Sold (part)	08/09/21	J	D	
91. -Corteva	A	Dividend	K	T					
92. -DXC Technology (x)		None	K	T					
93. Dodge and Cox Stock Fund	D	Dividend	N	T					
94. - Dow Inc.	B	Dividend	K	T					
95. -Dupont DeMours Inc	A	Dividend	K	T	Sold (part)	08/09/21	J	D	
96. - Ericcson LM Tel Co ADR B sek 10	A	Dividend			Sold	08/09/21	K	D	
97. - Exxon Mobil Corp Com	C	Dividend	L	T					
98. - Fedex Corp Com	A	Dividend	L	T					
99. - General Electric Com	A	Dividend	L	T	Sold (part)	08/05/21	J	A	
100. -Hewlett Packard Ente	B	Dividend	K	T					
101. -Home Depot Com	C	Dividend	N	T					
102. - Honeywell Int'l Com	B	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
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103. - HP Inc.	B	Dividend	L	T					
104. - IBM Com	C	Dividend	L	T					
105. -Kyndryl (X)			J	T	Spinoff (from line 104)	10/25/21	J		
106. - Kimberly Clark Corp Com	A	Dividend			Donated				
107. - Eli Lilly & Co Com	C	Dividend	M	T	Sold (part)	08/09/21	J	B	
108.					Sold (part)	08/26/21	J	C	
109.					Donated (part)				
110. - Medtronic	B	Dividend	K	T	Sold (part)	08/09/21	J	A	
111.					Sold (part)	08/26/21	J	B	
112. - Merck & Co Com	C	Dividend	L	T					
113. -Organon (X)					Spinoff (from line 112)	06/03/21	J		
114.					Sold	06/29/21	J	B	
115. - Microsoft	B	Dividend	M	T					
116. - Novartis AG Spons ADR	B	Dividend	L	T					
117. - Pfizer Com	D	Dividend	N	T					
118. - Proctor & Gamble Co Com	B	Dividend	M	T					
119. - Sanofi Spons ADR	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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F =$50,001 - $100,000
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H1 =$1,000,001 - $5,000,000
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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
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3. Value Method Codes (See Column C2)
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Name of Person Reporting	Date of Report
Orrick, William H.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. - Target Corp Com	B	Dividend	M	T					
121. - TE Connectivity Ltd Reg Shs Com	B	Dividend	M	T					
122. - Travelers Companies Inc Com	D	Dividend	M	T					
123. - Union Pac Corp Com	D	Dividend	N	T					
124. -Viatris	A	Dividend	J	T					
125. -Walt Disney	B	Dividend	L	T	Sold (part)	08/09/21	K	E	
126. - Wells Fargo & Co new com	C	Dividend	N	T					
127. - Schwab CA Muni Money Fund	A	Dividend	L	T					
128.									
129. TIAA-CREF: Cref Stock Fund		None	K	T					
130. TIAA Traditional Annuity		None	K	T					
131.									
132. Trust #4 : Dodge & Cox Stock Fund (X)		None			Distributed	03/06/21	N		
133. Trust #5: Dodge & Cox Stock Fund	E	Dividend	O	T	Distributed (part)	02/17/21	O		
134. Trust #6: Dodge & Cox Stock Fund	E	Dividend	O	T	Sold (part)	01/02/21	J	A	
135.					Sold (part)	02/01/21	J	A	
136.					Sold (part)	02/12/21	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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☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
137.					Sold (part)	03/01/21	J	A	
138.					Sold (part)	04/01/21	J	A	
139.					Sold (part)	05/01/21	J	A	
140.					Sold (part)	06/01/21	J	A	
141.					Sold (part)	06/18/21	K	E	
142.					Sold (part)	07/01/21	J	A	
143.					Sold (part)	08/01/21	J	A	
144.					Sold (part)	09/01/21	J	A	
145.					Sold (part)	10/01/21	J	A	
146.					Sold (part)	11/01/21	J	A	
147.					Sold (part)	12/01/21	J	A	
148.					Distributed (part)	01/29/21	N		
149. Orphagen Pharmaceuticals preferred shares		None	J	W					

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

In Part VII, I have listed Rental Property #1 twice, in lines 3 and 19. 12% of the property is held in Trust #1 (line 19), and 21 1/3% is owned by me separately (line 3), and the gross values of those percentage interests are estimated accordingly. Rental Property #1 is rented--my share of the gross rent is reflected on line 3.

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Orrick, William H.	04/26/2022

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/ William H. Orrick

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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