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
Rogers, Yvonne G.	District Court for Northern District of California	5/5/2022
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**
Article III	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
1301 Clay Street Room 490C Oakland, California 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.	Independent Executor	Estate No. 1
2.	Trustee	Residuary Estate Trust No. 1
3.	Trustee	Residuary Estate Trust No. 2
4.	Trustee	Residuary Estate Trust No. 3
5.	Trustee	Residuary Estate Trust No. 4

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

Name of Person Reporting	Date of Report
Rogers, Yvonne G.	5/5/2022

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.	2021	McKinsey & Company - Salary
2.	2021	University of California, Berkeley - Stipend
3.	2021	Equilibrium Energy - Advisor Option
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.	RAND Institute/University of California, Los Angeles	November 12, 2021	Los Angeles, California	Summit on Civil Case Management	Transportation, Meals, Lodging
2.					
3.					
4.					
5.					

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Rogers, Yvonne G.	5/5/2022

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
Rogers, Yvonne G.	5/5/2022

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. Citibank Checking and Money Market Accounts	A	Interest	L	T					
2. Bank of America Checking	A	Interest	J	T					
3. Trust No. 1									
4. -Vanguard CA IT Tax Exempt	D	Dividend	O	T					
5. -Vanguard Total International Stock Index	G	Dividend	P2	T					
6. -Vanguard 500 Index Fund	F	Dividend	P2	T	Buy (add'l)	09/03/21	O		
7.					Buy (add'l)	12/06/21	N		
8. -Vanguard Extended Markets Index	E	Dividend	P1	T					
9. -Vanguard Emerging Markets Index	F	Dividend	P1	T	Buy (add'l)	01/14/21	O		
10. -Vanguard IRA: Inflation Protect Sec Adm	E	Dividend	O	T					
11. -Vanguard: Total Bond Market Index (variable annuity)		None			Closed	06/14/21	M		
12. -Vanguard: Balanced Fund Portfolio (variable annuity)		None			Buy	06/14/21	M		
13. -Vanguard 500 Index Fund (retirement)	A	Dividend	J	T					
14. -Vanguard 529-Aggressive Growth Port-Age-Based 26		None	M	T					
15. -Vanguard 529-Aggressive Growth Port - Age 23		None	K	T					
16. -Vanguard 529 - Moderate Growth- Port Age-Based 20		None	M	T	Sold (part)	01/13/21	K		
17.					Sold (part)	08/03/21	K		

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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Rogers, Yvonne G.	5/5/2022

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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A	B		C		D				
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18. -Vanguard Total Stock Market Index			O	T	Buy	12/30/21	O		
19. -Wells Fargo Money Market Account	A	Interest	P1	T					
20. -Rental Prop, San Antonio, TX (sale price $142,800)	C	Rent			Sold	09/21/21	M	F	Ronald and Sarah Reyes
21. McKinsey & Company Special Situations Aggressive Long-Term	G	Dividend	P2	T					
22. McK Spec Sit Retirement (Ind)		None	P2	T					
23. McKinsey Partnership Shares	A	Dividend			Sold	07/31/21	O		McKinsey & Company
24. McKinsey Partnership Debt	D	Interest			Sold	07/31/21	O		McKinsey & Company
25. McKinsey Cash Balance Plan		None	P1	T					
26. Residuary Estate Trust No. 1 Checking (Wells Fargo; 1/4 interest)		None	K	T					
27. -Mineral Rights (1/4 interest; Wilson County, TX)		Royalty	J	T					
28. RE Trust No. 2 (1/2 interest Bexar County, TX; assessed $218,040)		None	M	S					
29. RE Trust No. 3 (1/4 interest, Wilson County, TX; assessed $23,780)		None	J	S					
30. Fidelity Government Cash Reserve FDRXX (IRA)		None	J	T					
31. Vanguard Brokerage	A	Dividend	J	T	Buy	08/30/21	P1		
32.					Buy	09/07/21	P1		
33.					Sold (part)	12/06/21	O		
34.					Sold (part)	12/28/21	O		

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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; 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

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35.					Sold (part)	12/28/21	O		
36.					Sold (part)	12/28/21	O		
37.					Sold (part)	12/30/21	O		

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

Section I.
Line 1: As the independent executor of a [redacted] estate, I have ongoing responsibilities but receive no compensation; nor are there reportable assets.
Line 5: I list my role as a trustee in the Residuary Estate Trust No. 4. However, during my tenure, which ended in 2021, that trust did not fund.

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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/ Yvonne G. Rogers

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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