AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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	05/15/2023
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**
District Court Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2022 **to** 12/31/2022
	5b. ☐ Amended Report	
7. Chambers or Office Address		
1301 Clay Street 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.	Executor	Estate #1 (no reportable assets)
2.	Trustee	Trust #1 (reportable assets are listed in Part VII)
3.	Trustee	Trust #2 (reportable assets are listed in Part VII)
4.	Trustee	Trust #3 (reportable assets are listed in Part VII)
5.		

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.	05/15/2023

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.	2022	McKinsey & Company - Pension Payout and Advisory Fees
2.	2022	University of California, Berkeley - Stipend
3.	2022	Equilibrium Energy - Advisor Options
4.	2022	Ajax Sratagies - Stipend
5.	2022	Mission Possible Partnership/Rocky Mountain Institute - Contract fees

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.	ABA	March 3, 2022	San Francisco, CA	White Collar Crime Conference	Transportation
2.	ABA	April 5-7, 2022	Austin, Texas	Class Action Lawsuit Conference	Transportation, Lodging
3.	ABA	May 2-5, 2022	Washington, D.C.	Antitrust Conference	Transportation, Lodging
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
Rogers, Yvonne G.	05/15/2023

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. Citibank (cash)	A	Interest	N	T					
3. Bank of America (cash)	A	Interest	J	T					
4. Wells Fargo (cash)	A	Interest	P1	T					
5. Real Estate, Bexar County, TX		None	M	W					
6. Real Estate, Wilson County, TX		None	J	W					
7. Vanguard: Balanced Fund Portfolio (variable annuity)		None	M	T					
8. Account # 1 (H)									
9. Vanguard Inflation-Protect Sec AcJm (VAIPX)	E	Dividend	O	T					
10. Account # 2 (H)									
11. Vanguard 500 Index Fund Adm (VFIAX)	A	Dividend	J	T					
12. Account #3 (H)									
13. McKinsey Cash Balance Plan	E	Interest	P1	T					
14. McKinsey & Company Special Situations Aggressive Long-Term		None			Sold	07/25/22	P2		
15. McKinsey & Company Special Situations Retirement Fund		None	P2	T					
16. Vanguard Target Retirement 2025 Fund		None	J	T					
17. Account #4 (H)									

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.	05/15/2023

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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. Vanguard CAIT Tax-Exempt Admiral (VCADX)	D	Dividend	O	T					
19. Vanguard Emerging Mkts Stk Iclx Adm (VEMAX)	F	Dividend	P1	T					
20. Vanguard Extended Mkt Index Adm (VEXAX)	D	Dividend	P1	T					
21. Vanguard Tot Intl Stock lx Admiral (VTIAX)	G	Dividend	P2	T					
22. Vanguard Total Stock Mkt Idx Adm (VTSAX)	D	Dividend	O	T					
23. Vanguard 500 Index Fund Adm (VFIAX)	F	Dividend	P2	T					
24. Account #5 (H)									
25. Vanguard Federal Money Market Fund (VMFXX)	F	Dividend	P2	T	Buy	08/16/22	P2		
26.					Sold (part)	08/29/22	M		
27.					Sold (part)	08/30/22	P1		
28.					Sold (part)	09/27/22	K		
29.					Sold (part)	09/28/22	O		
30.					Sold (part)	10/31/22	M		
31.					Sold (part)	11/01/22	O		
32.					Sold (part)	11/29/22	M		
33.					Sold (part)	11/30/22	O		
34.					Sold (part)	12/29/22	O		

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	
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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)	B. Income during reporting period		C. Gross value at end of reporting period		D. 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)
35.						Sold (part)	12/30/22	O		
36.	Vanguard CAIT Tax-Exempt Admiral (VCADX)	C	Dividend	O	T	Buy	08/26/22	M		
37.						Buy (add'l)	09/26/22	M		
38.						Buy (add'l)	10/28/22	M		
39.						Buy (add'l)	11/28/22	M		
40.						Buy (add'l)	12/28/22	M		
41.	Vanguard CALT Tax-Exempt Admiral (VCLAX)	B	Dividend	N	T	Buy	08/26/22	K		
42.						Buy (add'l)	09/26/22	K		
43.						Buy (add'l)	10/28/22	K		
44.						Buy (add'l)	11/28/22	K		
45.						Buy (add'l)	12/28/22	L		
46.	Vanguard Intl High Dividend Yield Index (VYMI)	E	Dividend	P1	T	Buy	08/26/22	O		
47.						Buy (add'l)	09/26/22	L		
48.						Buy (add'l)	10/28/22	L		
49.						Buy (add'l)	11/28/22	L		
50.						Buy (add'l)	12/28/22	M		
51.	Vanguard FTSE Developed Mkts (VEA)	D	Dividend	O	T	Buy	08/26/22	M		

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	
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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)	D. (5) Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	09/26/22	M		
53.					Buy (add'l)	10/28/22	M		
54.					Buy (add'l)	11/28/22	M		
55.					Buy (add'l)	12/28/22	M		
56. Vanguard Growth (VUG)	B	Dividend	O	T	Buy	08/26/22	M		
57.					Buy (add'l)	09/26/22	M		
58.					Buy (add'l)	10/28/22	M		
59.					Buy (add'l)	11/28/22	M		
60.					Buy (add'l)	12/28/22	M		
61. Vanguard High Dividend Yield (VYM)	D	Dividend	O	T	Buy	08/26/22	M		
62.					Buy (add'l)	09/26/22	M		
63.					Buy (add'l)	10/28/22	M		
64.					Buy (add'l)	11/28/22	M		
65.					Buy (add'l)	12/28/22	M		
66. Vanguard Mid Cap (VO)	B	Dividend	M	T	Buy	08/26/22	K		
67.					Buy (add'l)	09/26/22	K		
68.					Buy (add'l)	10/28/22	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
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☐ NONE *(No reportable income, assets, or transactions.)*

	A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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69.						Buy (add'l)	11/28/22	K		
70.						Buy (add'l)	12/28/22	K		
71.	Vanguard Small Cap (VB)	B	Dividend	M	T	Buy	08/26/22	K		
72.						Buy (add'l)	09/26/22	K		
73.						Buy (add'l)	10/28/22	K		
74.						Buy (add'l)	11/28/22	K		
75.						Buy (add'l)	12/28/22	K		
76.	Vanguard Small Cap Value (VBR)	B	Dividend	M	T	Buy	08/26/22	K		
77.						Buy (add'l)	09/26/22	K		
78.						Buy (add'l)	10/28/22	K		
79.						Buy (add'l)	11/28/22	K		
80.						Buy (add'l)	12/28/22	K		
81.	Account #6 (H)									
82.	McKinsey & Company Special Situations Aggressive Long-Term		None			Redeemed	07/01/22	P2		
83.	Vanguard Federal Money Market Fund (VMFXX)	D	Dividend	J	T	Buy	07/26/22	P2		
84.						Sold (part)	08/16/22	P2		
85.	Account #7 (H)									

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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	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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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
86. Vanguard 529 State of Nevada College Savings Plan Commencement Prt		None	M	T					
87. Account #8 (H)									
88. Vanguard 529 State of Nevada College Savings Plan Commencement Prt		None	K	T					
89. Account #9 (H)									
90. Vanguard 529 State of Nevada College Savings Plan TRGT 20/21		None	M	T	Sold (part)	01/03/22	K		
91.					Sold (part)	08/08/22	K		

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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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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 45 of the filing instructions.

College account transactions were inadvertently omitted from the prior report.

Name of Person Reporting	Date of Report
Rogers, Yvonne G.	05/15/2023

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544