AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

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	05/15/2024
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 **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
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 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.	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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

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Rogers, Yvonne G.	05/15/2024

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.	2023	McKinsey & Company (Pro Unlimited) - Pension Payout and Advisory Fees
2.	2023	University of California, Berkeley - Stipend
3.	2023	Stanford University - Stipend
4.	2023	Ajax Sratagies - Stipend
5.	2023	Exelon Corporation - Board Shares and Compensation
6.	2023	Generate Capital - Advisory Fees

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.	ABA	Janurary 5-10, 2023	Kohala Coast, HI	Leadership Conference Speaker	Travel, Meals, Lodiging
2.	ALI	Janurary 18-20, 2023	Philadelphia, PA	Council Meeting	Travel, Meals, Lodiging
3.	ABA	Februrary 8, 2023	San Diego, CA	Conference Speaker	Travel and Meals
4.	ABA	March 27-30 2023	Washington, DC	Conference Speaker	Travel, Meals, Lodiging

5.	Baylor University School of Law	June 17-21 2023	Aspen, CO	Judicial Conference on MDL	Travel, Meals, Lodiging
6.	ABA	November 8-12 2023	Washington, DC	Leadership Conference	Travel, Meals, Lodiging

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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.	Excelon Corporation	Transportation Baltimore to Oakland	$2,286.75
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.			

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
		(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)	
1.	Individual Assets (H)									
2.	Citibank (cash)	A	Interest	N	T					
3.	Bank of America (cash)	A	Interest	J	T					
4.	Wells Fargo (cash)	B	Interest	M	T					
5.	Excelon Corp (X)	A	Dividend	L	T					
6.	Real Estate, Bexar County, TX		None	M	W					
7.	Real Estate, Wilson County, TX		None	J	W					
8.	Vanguard: Balanced Fund Portfolio (variable annuity)		None	M	T					
9.	Account # 1 (H)									
10.	Vanguard Inflation-Protect Sec AcJm (VAIPX)	F	Dividend	O	T					
11.	Account # 2 (H)									
12.	Vanguard 500 Index Fund Adm (VFIAX)	A	Dividend	J	T					
13.	Account #3 (H)									
14.	McKinsey Cash Balance Plan	F	Interest	P1	T					
15.	McKinsey & Company Special Situations Retirement Fund		None	O	T					
16.	Vanguard Target Retirement 2025 Fund		None	K	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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☐ 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. Vanguard CAIT Tax-Exempt Admiral (VCADX)	D	Dividend			Sold	07/12/23	O		
19. Devel Markets Idx Admiral (VTMGX)	E	Dividend	P1	T	Buy	07/12/23	P1		
20. Vanguard Emerging Mkts Stk Idx Adm (VEMAX)	D	Dividend			Sold (part)	06/09/23	L		
21.					Sold (part)	07/07/23	L		
22.					Sold	07/12/23	P1		
23. Vanguard Extended Mkt Index Adm (VEXAX)	E	Dividend	P1	T	Buy (add'l)	07/12/23	N		
24. Inter-Term Tax-exempt Adm (VWIUX)	D	Dividend	O	T	Buy	07/12/23	O		
25. Vanguard Tot Intl Stock lx Admiral (VTIAX)	G	Dividend			Sold	09/22/23	P2		
26. Vanguard Tot Intl Stock lx Inst (VTSNX)	F	Dividend	P2	T	Buy	09/22/23	P2		
27. Vanguard Total Stock Mkt Idx Adm (VTSAX)	D	Dividend			Buy (add'l)	06/09/23	L		
28.					Buy (add'l)	07/07/23	L		
29.					Sold	07/12/23	P1		
30. Vanguard 500 Index Fund Adm (VFIAX)	G	Dividend	P2	T	Buy (add'l)	07/12/23	O		
31. Account #5 (H)									
32. Vanguard Federal Money Market Fund (VMFXX) (cash eq.)	F	Dividend	L	T	Sold (part)	01/30/23	M		
33.					Sold (part)	01/31/23	O		
34.					Sold (part)	02/24/23	J		

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	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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35.					Sold (part)	03/28/23	M		
36.					Sold (part)	03/29/23	O		
37.					Sold (part)	04/28/23	M		
38.					Sold (part)	05/01/23	O		
39.					Sold (part)	05/25/23	J		
40.					Sold (part)	05/30/23	M		
41.					Sold (part)	05/31/23	O		
42.					Sold (part)	06/27/23	M		
43.					Sold (part)	06/28/23	O		
44.					Sold (part)	07/26/23	M		
45.					Sold (part)	07/27/23	O		
46.					Buy (add'l)	07/28/23	J		
47.					Buy (add'l)	09/21/23	L		
48.					Buy (add'l)	09/26/23	J		
49.					Sold (part)	10/03/23	L		
50.					Buy (add'l)	11/21/23	J		
51.					Sold (part)	11/22/23	J		

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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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52.					Buy (add'l)	12/21/23	L		
53.					Buy (add'l)	12/27/23	J		
54. Vanguard CAIT Tax-Exempt Admiral (VCADX)	E	Dividend	P1	T	Buy (add'l)	01/27/23	M		
55.					Buy (add'l)	03/27/23	M		
56.					Buy (add'l)	04/27/23	M		
57.					Buy (add'l)	05/26/23	M		
58.					Buy (add'l)	06/26/23	M		
59.					Buy (add'l)	07/25/23	M		
60.					Sold (part)	08/22/23	J		
61.					Sold (part)	11/20/23	J		
62. Vanguard CALT Tax-Exempt Admiral (VCLAX)	D	Dividend	O	T	Buy (add'l)	01/27/23	L		
63.					Buy (add'l)	03/27/23	L		
64.					Buy (add'l)	04/27/23	K		
65.					Buy (add'l)	05/26/23	K		
66.					Buy (add'l)	06/26/23	L		
67.					Buy (add'l)	07/25/23	L		
68. Vanguard Intl High Dividend Yield Index (VYMI)	F	Dividend	P1	T	Buy (add'l)	01/27/23	L		

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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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69.					Buy (add'l)	03/27/23	L		
70.					Buy (add'l)	04/27/23	L		
71.					Buy (add'l)	05/26/23	M		
72.					Buy (add'l)	06/26/23	L		
73.					Buy (add'l)	07/25/23	M		
74. Vanguard FTSE Developed Mkts (VEA)	F	Dividend	P1	T	Buy (add'l)	01/27/23	M		
75.					Buy (add'l)	03/27/23	M		
76.					Buy (add'l)	04/27/23	M		
77.					Buy (add'l)	06/26/23	M		
78.					Buy (add'l)	07/25/23	M		
79. Vanguard Growth (VUG)	D	Dividend	P1	T	Buy (add'l)	01/27/23	M		
80.					Buy (add'l)	03/27/23	M		
81.					Buy (add'l)	04/27/23	M		
82.					Buy (add'l)	05/26/23	M		
83.					Buy (add'l)	06/26/23	M		
84.					Buy (add'l)	07/25/23	M		
85. Vanguard High Dividend Yield (VYM)	F	Dividend	P1	T	Buy (add'l)	01/27/23	M		

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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	
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86.					Buy (add'l)	03/27/23	M		
87.					Buy (add'l)	04/27/23	M		
88.					Buy (add'l)	05/26/23	M		
89.					Buy (add'l)	06/26/23	M		
90.					Buy (add'l)	07/25/23	M		
91. Vanguard Mid Cap (VO)	D	Dividend	O	T	Buy (add'l)	01/27/23	K		
92.					Buy (add'l)	03/27/23	K		
93.					Buy (add'l)	04/27/23	K		
94.					Buy (add'l)	05/26/23	K		
95.					Buy (add'l)	06/26/23	K		
96.					Buy (add'l)	07/25/23	K		
97. Vanguard Small Cap (VB)	D	Dividend	O	T	Buy (add'l)	01/27/23	K		
98.					Buy (add'l)	03/27/23	K		
99.					Buy (add'l)	04/27/23	K		
100.					Buy (add'l)	05/26/23	K		
101.					Buy (add'l)	06/26/23	K		
102.					Buy (add'l)	07/25/23	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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103. Vanguard Small Cap Value (VBR)	D	Dividend	N	T	Buy (add'l)	01/27/23	K		
104.					Buy (add'l)	03/27/23	K		
105.					Buy (add'l)	04/27/23	K		
106.					Buy (add'l)	05/26/23	K		
107.					Buy (add'l)	06/26/23	K		
108.					Buy (add'l)	07/25/23	K		
109. Account #6 (H)									
110. Vanguard Federal Money Market Fund (VMFXX)	A	Dividend	J	T					
111. Account #7 (H)									
112. Vanguard 529 State of Nevada College Savings Plan Commencement Prt		None	M	T					
113. Account #8 (H)									
114. Vanguard 529 State of Nevada College Savings Plan Commencement Prt		None	K	T					
115. Account #9 (H)									
116. Vanguard 529 State of Nevada College Savings Plan TRGT 20/21		None			Sold (part)	01/05/23	K		
117.					Sold (part)	08/02/23	K		
118.					Sold	11/17/23	K		
119. Vanguard 529 State of Nevada College Savings Plan Commencement Prt		None	K	T	Buy	11/17/23	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

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.

Name of Person Reporting	Date of Report
Rogers, Yvonne G.	05/15/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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