

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Mueller, Kimberly J.	2. Court or Organization Eastern District of California	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U S District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 501 I Street Sacramento, CA 95814-2322		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board of Directors, ex-officio member (January 1, 2013 to present)	Eastern District Historical Society
2. Board of Directors, ex-officio member (Fall 2012 - present)	Sacramento Federal Judicial Library and Learning Center
3. Board of Directors, member (March 2015 - present)	Federal Judicial Center
4. Board of Directors, member (Fall 2012 - present)	Bethel College-North Newton,Kansas
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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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. 2016	[REDACTED], employee (salary)
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.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Sotiris Kolokotronis	Kings Basketball Game Tickets (spouse)	\$2,000.00
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☐NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Glen Fait, successor Trustee	Real estate mortgage	N
2.	Spring Valley Ranch	Personal Loan	J
3.	Mid Kansas Credit Union	Real estate mortgage - paid off February 2016	None
4.		Real Estate Mortgage-Twin Oaks 45% TIC interest	O
5.			
6.			
7.			

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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		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)	(5) Identity of buyer/seller (if private transaction)
1. Common Stock, [REDACTED] [REDACTED] - See Part VIII		None	N	V					
2. Partner in Spring Valley Ranch	D	Distribution	M	W					
3. Real Estate, North Sacramento, CA	F	Rent	O	W					
4. Bank accounts, Golden One	A	Interest	M	T					
5. (905) Calvert Social Investment Balance - A	A	Interest	J	T					
6. Manulife 401 (k) (no control)	C	Interest	M	T					
7. River City Bank accounts	A	Interest	J	T					
8. Stephens Motor Yacht		None	L	W					See add'l info Part VIII
9. Real Estate, Moundridge, Kansas- See Part VIII		None			Sold	02/12/16	N	E	Craig & Elaine Galle
10. Real Estate, Sacramento, CA - 3/14/14 See Part VIII	F	Rent	O	R					
11. Real Estate, Sacramento, CA 1/27/16	G	Rent	P1	R	Buy	01/27/16	P1		See add'l info Part VIII
12. Exchange Funds - Asset Preservation Inc.		None			Closed	01/27/16	P1		See add'l Info Part VIII
13.									
14.									
15.									
16.									
17.									

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

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

Part III-A. Non-Investment Income. Non-reportable non-investment income was earned during the reporting period (salary from the U S Government for services as a United States District Judge)

Part VII, Investments and Trusts. Line 1 Re: Common Stock, [REDACTED]. The valuation was based on the per share value resulting from the federal estate tax examination of the related shareholder who died in 1998, which is the most recent valuation available.

Part VII, Investments and Trusts. Line 3. Re: Investment in real estate, North Sacramento, CA. The property was sold on May 3, 2017 for \$700,000. The mortgage (\$312,548) was paid off. The proceeds were deposited in a qualified exchange intermediary account. The taxable gain on this sale is expected to be deferred under IRC Section 1031.

Part VII, Investments and Trusts. Line 8 Re: Stephens Motor Yacht. This asset was acquired in an exchange with spouse's former partner in two Stephens Motor Yachts, with each partner yielding to the other his 1/2 interest in one boat. No cash was exchanged.

Part VII, Investments and Trusts. Line 9 Re: Investment in real estate, Moundridge, Kansas. The property was acquired for \$210,000 on 6/1/10. It was sold on 2/12/16 for \$252,678. Buyers' names - Craig and Elaine Galle.

Part VII, Investments and Trusts. Line 10 Re: Investment in real estate, Sacramento, CA. A 22.65% interest in the commercial rental property located on Lathrop Way was acquired on 3/14/2014 for \$884,639 cash- funds were in a qualified exchange intermediary account. [REDACTED].

Part VII, Investments and Trusts. Line 11 Re: Investment in real estate, Sacramento, CA. A 45% interest in the commercial rental property located on Lathrop Way was acquired on 1/27/2016 for \$1,759,369 (cash of \$1,127,666 from a qualified exchange intermediary account plus mortgage assumption of \$631,703). Seller - [REDACTED].

Part VII, Investments and Trusts. Line 12. Re: Exchange Funds. The entire amount in this account was used to purchase real estate in Sacramento, CA on January 27, 2016.

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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/ **Kimberly J. Mueller**

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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