

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Shubb, William B.	2. Court or Organization U. S. District Court	3. Date of Report 07/02/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U. S. District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 501 I Street Suite 14-210 Sacramento, CA 95814		
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. Adjunct professor	University of California at Davis
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Shubb, William B.

Date of Report

07/02/2014

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Shubb, William B.

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07/02/2014

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Shubb, William B.

Date of Report

07/02/2014

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. BANK ACCOUNTS									
2. Bank America (Checking)	A	Interest	K	T	Sold (part)	07/12/13	L		
3. Bank America (Maximizer)	A	Interest	J	T					
4. Bank America (9-mos CD)	A	Interest	L	T	Buy	07/12/13	L		
5. 1st Community Credit Union	A	Interest	J	T					
6.									
7. ANNUITIES									
8. American Skandia - PIMCO Total Return		None	K	T					
9. American Skandia - T Rowe Price Large Cap Fund		None	K	T					
10. American Skandia - Cohen & Steers Realty Fnd		None	K	T					
11. American Skandia - Lord Abbett Core Bond		None	K	T					
12. American Skandia - Profund Large Cap		None	K	T					
13.									
14. Venture Annuity - US Equity Fund		None	K	T					
15.									
16. LIMITED PARTNERSHIPS									
17. Municipal Mortg. & Equity	B	Dividend	K	W					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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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		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)
18.									
19. RAYMOND JAMES IRA									
20. RJ Bank Dep.	A	Dividend	J	T					
21. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
22.									
23. RAYMOND JAMES ACCOUNT #1 [REDACTED]									
24. Eagle Tax Free Money Fund	A	Dividend	J	T	Sold (part)	12/18/13	K		
25. Alliance Muni Income CA	A	Dividend	M	T	Buy	12/18/13	M		
26. Columbia CA Tax Exempt	C	Dividend			Sold	12/18/13	L		
27. Franklin CA High Yield Muni	C	Dividend			Sold	12/18/13	L		
28. Invesco Van Kampen Interm Muni Fund	A	Dividend	K	T					
29. Mainstay Conservative Allocation Fund	A	Dividend	K	T	Buy	12/18/13	K		
30. WF Advantage Strategic Muni Bond Fund	A	Dividend	J	T					
31.									
32. RAYMOND JAMES ACCOUNT #2 [REDACTED]									
33. Eagle Tax Free Money Fund	A	Dividend	J	T					
34. Alliance Muni Income Ins'd CA	B	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

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☐ NONE (No reportable income, assets, or transactions.)

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35. Franklin Income Fund	C	Dividend	L	T					
36. Franklin Strategic Income Fund	C	Dividend	L	T					
37. Invesco Van Kampen Equity Income Fund	B	Dividend	L	T					
38. Oppenheimer Senior Fltg Rate	D	Dividend	M	T					
39.									
40. WF ADVISORS-IRA (B)									
41. WF Bank Deposit Sweep	A	Dividend	J	T					
42. Equally Weighted S&P Fund	A	Dividend	K	T					
43. New Perspective Fund	A	Dividend	J	T					
44.									
45. WF ADVISORS									
46. WF Bank Deposit Sweep	A	Dividend	J	T	Sold (part)	10/14/13	K		
47. Boeing	B	Dividend	K	T					
48. Chevron	B	Dividend	K	T	Buy (add'l)	10/14/13	J		
49. Coca Cola	A	Dividend	K	T					
50. General Electric	A	Dividend	K	T					
51. Intel	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. Proctor & Gamble	B	Dividend	K	T	Buy (add'l)	10/14/13	K		
53. Investment Company of America	B	Dividend	M	T	Buy (add'l)	10/14/13	J		
54. New Perspective Fund	B	Dividend	M	T	Buy (add'l)	10/14/13	J		
55.									
56.									
57. IRA									
58. WF Bank Deposit Sweep	A	Dividend	J	T					
59. Diversified Dividend Fund	A	Dividend	J	T					
60. Apache Corp.	A	Dividend	K	T					
61. Sempra Energy	A	Dividend	J	T					
62.									
63. IRA/ROLLOVER of HR-10									
64. WF Bank Deposit Sweep	A	Dividend	K	T	Buy (add'l)	12/16/13	J		
65. Franklin Income Fund	D	Dividend	M	T					
66. Equally Weighted S&P 500	B	Dividend	M	T	Sold (part)	10/08/13	J	A	
67. Diversified Dividend Fund	B	Dividend	M	T					
68. JPM International Value Fund	A	Dividend			Sold	06/21/13	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. Abbott Labs	A	Dividend	K	T					
70. AbbVie	B	Dividend	L	T	Spinoff (from line 69)	01/02/13	K		
71. A T & T	B	Dividend	K	T	Buy (add'l)	06/21/13	J		
72. Boeing	A	Dividend	J	T	Sold (part)	09/20/13	K	E	
73. Bristol Meyers	A	Dividend	K	T					
74. Catepillar	B	Dividend	L	T					
75. Chevron	C	Dividend	L	T	Buy (add'l)	06/21/13	J		
76. Coca Cola	B	Dividend	K	T					
77. Conoco	B	Dividend	L	T					
78. Dow Chemical	B	Dividend	K	T					
79. General Electric	B	Dividend	K	T					
80. Intel	B	Dividend			Sold	10/07/13	K	D	
81. IBM	B	Dividend	L	T					
82. Johnson & Johnson	B	Dividend	L	T	Buy (add'l)	02/12/13	J		
83. Phillips 76	A	Dividend	K	T					
84. Proctor & Gamble	B	Dividend	K	T					
85. Sempra Energy	A	Dividend			Sold	10/08/13	K	E	

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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86. Target	A	Dividend	J	T					
87. Walt Disney	A	Dividend	K	T					
88. Yum Brands	A	Dividend	J	T					
89. Aegon 6.375% Pfd 6/15/15	B	Dividend	K	T	Buy (add'l)	01/06/13	J		
90. Commonwealth 7.23% Pfd 5/15/16	C	Dividend	K	T	Buy (add'l)	09/20/13	J		
91. Delphi Fincl 7.376% Pfd 5/1/67	A	Dividend	J	T					
92. GE Capital Sr. Notes 2/18/33 (GED)	B	Dividend			Sold	01/18/13	K		
93. GE Capital 4.875% Pfd (GEB)	C	Dividend	L	T	Buy (add'l)	09/20/13	J		
94. Healthcare REIT 6.5% Pfd	C	Dividend	L	T	Buy (add'l)	01/16/13	J		
95.					Buy (add'l)	06/21/13	J		
96.					Buy (add'l)	09/20/13	J		
97. Morgan Stanley 6.45% Pfd 4/15/67 (MSK)	B	Dividend	K	T					
98.									

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

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

Line 19 2012 FDR "WF Advantage Strategic Muni Bond Fund" moved to line 25

Line 20 2012 FDR "Franklin CA High Yield Muni" moved to line 22

Line 29 2012 FDR "Oppenheimer Senior Fltg Rte" moved to line 33

Line 30 2012 FDR "Invesco VanKampen Interim Muni Fund" moved to line 32

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

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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/ William B. Shubb

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