

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/03/2013
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 01/01/2012 to 12/31/2012
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.		
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.	

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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.

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.)*

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.		

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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. BANK ACCOUNTS									
2. Bank America (Checking)	A	Interest	K	T					
3. Bank America (Maximizer)	A	Interest	J	T					
4. 1st Community Credit Union	A	Interest	J	T					
5.									
6. ANNUITIES									
7. American Skandia		None	M	T					
8. Venture Annuity		None	J	T					
9.									
10. LIMITED PARTNERSHIPS									
11. Municipal Mortg. & Equity	B	Dividend	K	W					
12.									
13. RAYMOND JAMES IRA									
14. RJ Bank Dep.	A	Dividend	J	T					
15. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
16.									
17. RAYMOND JAMES ACCOUNT #1 (JT - 3136)									

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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 \$5,000,000	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	

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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		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. Eagle Tax Free Money Fund	A	Dividend	K	T					
19. WF Advantage Strategic Muni Bond Fund	A	Dividend	J	T					
20. Franklin CA High Yield Muni	C	Dividend	L	T					
21. Columbia CA Tax Exempt	C	Dividend	L	T					
22. Invesco Van Kampen Interm Muni Fund	B	Dividend	K	T					
23.									
24. RAYMOND JAMES ACCOUNT #2 (-3073)									
25. Eagle Tax Free Money Fund	A	Dividend	J	T					
26. Alliance Muni Income Ins'd CA	B	Dividend	K	T					
27. Franklin Income Fund	C	Dividend	L	T					
28. Franklin Strategic Income Fund	C	Dividend	L	T					
29. Oppenheimer Senior Fltg Rate	D	Dividend	M	T					
30. Invesco Van Kampen Equity Income Fund	A	Dividend	K	T					
31.									
32. WF ADVISORS-IRA (B)									
33. WF Bank Deposit Sweep	A	Dividend	J	T	Buy	12/10/12	J		
34. Equally Weighted S&P Fund	A	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	
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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)

35. New Perspective Fund	A	Dividend	J	T					
36.									
37. WF ADVISORS (JT)									
38. WF Bank Deposit Sweep	A	Dividend	K	T					
39. Boeing	A	Dividend	K	T					
40. Chevron	B	Dividend	K	T					
41. Coca Cola	A	Dividend	K	T					
42. General Electric	A	Dividend	K	T					
43. Intel	A	Dividend	K	T					
44. Proctor & Gamble	A	Dividend	K	T					
45. Investment Company of America	B	Dividend	L	T	Buy (add'l)	11/12/12	K		
46. New Perspective Fund	B	Dividend	L	T	Buy (add'l)	11/12/12	K		
47.									
48. IRA - S									
49. WF Bank Deposit Sweep	A	Dividend	J	T					
50. Diversified Dividend Fund	A	Dividend	J	T					
51. Apache Corp.	A	Dividend	K	T					

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52. Sempra Energy	A	Dividend	J	T					
53.									
54. IRA/ROLLOVER of HR-10									
55. WF Bank Deposit Sweep	A	Dividend	J	T					
56. Franklin Income Fund	D	Dividend	M	T					
57. Equally Weighted S&P 500	B	Dividend	M	T					
58. Diversified Dividend Fund	B	Dividend	M	T					
59. JPM International Value Fund	A	Dividend	K	T					
60. Abbott Labs	A	Dividend	K	T					
61. A T & T	B	Dividend	K	T	Buy (add'l)	7/30/12	J		
62. Boeing	A	Dividend	K	T					
63. Bristol Meyers	A	Dividend	K	T					
64. Catepillar	B	Dividend	L	T					
65. Chevron	B	Dividend	L	T					
66. Cisco	A	Dividend			Sold	10/17/12	J	A	
67. Coca Cola	B	Dividend	K	T					
68. Conoco	B	Dividend	L	T	Buy (add'l)	2/28/12	J		

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69. Dow Chemical	A	Dividend	K	T					
70. General Electric	B	Dividend	K	T					
71. Hewlett Packard	A	Dividend			Sold	7/30/12	J		
72. Intel	B	Dividend	K	T					
73. IBM	B	Dividend	L	T					
74. Johnson & Johnson	B	Dividend	L	T					
75. Microsoft	A	Dividend			Sold	10/17/12	K		
76. Phillips 76	A	Dividend	K	T	Spinoff (from line 68)	4/12/12	J		
77. Proctor & Gamble	B	Dividend	K	T	Buy (add'l)	7/30/12	J		
78. Sempra Energy	B	Dividend	K	T					
79. Target	A	Dividend	J	T					
80. Walt Disney	A	Dividend	K	T					
81. Yum Brands	A	Dividend	J	T					
82. Aegon 6.375% Pfd 6/15/15	B	Dividend	K	T					
83. Commonwealth 7.23% Pfd 5/15/16	C	Dividend	K	T					
84. CORTS - BMY Squibb 8-1-97 (KNR)	B	Dividend			Sold	12/11/12	K		
85. Delphi Fincl 7.376% Pfd 5/1/67	A	Dividend	J	T					

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86. GE Capital Sr. Notes 2/18/33 (GED)	B	Dividend	K	T					
87. GE Capital 4.875% Pfd (GEB)	C	Dividend	L	T	Buy	11/12/12	L		
88. GE Capital PINES 6/28/32 (GEA)	C	Dividend			Sold	12/11/12	K		
89. GECC 6.1% PINES 11/15/32 (GEC)	B	Dividend			Sold	12/11/12	K		
90. Healthcare REIT 6.5% Pfd	B	Dividend	K	T	Buy	5/11/12	J		
91.					Buy (add'l)	12/11/12	K		
92. Mississippi Pwr 5.625% Pfd 4/15/67	A	Dividend			Sold	12/11/12	J		
93. Morgan Stanley 6.45% Pfd 4/15/67 (MSK)	B	Dividend	K	T					
94.									

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

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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