

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Spaeth, Autumn D.	2. Court or Organization U.S. District Court - Central District of California	3. Date of Report 11/12/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 10/14/2018
7. Chambers or Office Address United States Courthouse 411 W. Fourth St. Santa Ana, CA 92701		
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	Orange County Bar Association
2.	Board of Directors	Federal Bar Association - Orange County Chapter
3.	Judicial Board of Directors	Federal Bar Association - Orange County Chapter
4.	Trustee	Trust #1
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Smiley Wang-Ekval LLP	\$66,365.35
2. 2017	Smiley Wang-Ekval LLP	\$204,401.00
3. 2016	Smiley Wang-Ekval LLP	\$191,567.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Episource LLC (salary)
2. 2018	Episource LLC (salary)
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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.	Exempt		
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.	Nuvision Credit Union	Mortgage on Rental Property	N
2.	FACTS Grant and Aid	Tuition Service	J
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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 of America (cash)		None	K	T	Exempt				
2. New York Life Custom Whole Life Insurance	B	Dividend	J	T					
3. Rental Property #1, Aliso Viejo, CA	E	Rent	N	W					
4. Coin collection		None	K	T					
5. IRA #1 (H)									
6. ETFS PHYSICAL PLATINUM SHRS (PPLT)		None	J	T					
7. ETFS SILVER TR SILVER SHS (SIVR)		None	K	T					
8. ISHARES GOLD TRUST ISHARES (IAU)		None	J	T					
9. SPDR GOLD TR GOLD SHS (GLD)		None	J	T					
10. CAMECO CORP COM NPV (CCJ)		None	J	T					
11. SPROTT PHYSICAL GOLD TRUST (PHYS)	A	Dividend	J	T					
12. URANIUM ENERGY CORP (UEC)		None	J	T					
13. GOLD - BULLION BAR -- 5 OZ. (GB5)		None	J	T					
14. SILVER - SILVER BAR -- 10 OZ. (SB10A)		None	K	T					
15. GOLD - BULLION BAR -- 10 OZ. (GB10)		None	K	T					
16. RETIREMENT ACCT #1 (H)									
17. Invesco Diversified Dividend Investor (LCEIX)		None	J	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Spaeth, Autumn D.

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11/12/2018

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18. Vanguard Target Retirement Income Inv (VTINX)		None	J	T					
19. Vanguard Total Bond Market Index Inv (BND)		None	J	T					
20. Putnam Stable Value Fund 50		None	J	T					
21. RETIREMENT ACCT #2 (H)									
22. Inv Govt & Agcy Prt (AGPXX)	A	Int./Div.	K	T					
23. RETIREMENT ACCT #3 (H)									
24. American Funds Capital World Growth Income R3 (RWICX)	A	Dividend							
25. American Funds Interm Bd Fd of Amer R3 (RBOCX)	C	Dividend							
26. Lord Abbett Total Return R3 (LTRRX)	D	Dividend							
27. American Funds 2040 Target Date Fd R3 (RCKTX)	A	Dividend							
28. BROKERAGE #1 (H)									
29. ISHARES SILVER TR (SLV)		None	J	T					
30. FIRST MAJESTIC SILVER CORP (AG)		None	J	T					
31. UNITED HEALTH GROUP (UNH)	A	Dividend	K	T					
32. WHEATON PRECIOUS METALS CORP (WPM)	A	Dividend	J	T					
33. HSA #1 (H)									
34. Vanguard 500 Index (VOO)		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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35. Vanguard Equity Income (VEIPX)		None	J	T					
36. Vanguard Wellington Fund (VWELX)		None	J	T					
37. 529 #1 (H)									
38. TIAA Principal Plus Interest Portfolio 2954		None	J	T					
39. 529 #2 (H)									
40. TIAA Principal Plus Interest Portfolio 2954		None	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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

Part I, line 1: Resigned prior to taking the bench.

Part I, lines 2-3: Upon taking the bench, this position transitioned from Board of Directors to Judicial Board of Directors.

Part I, line 4: Trust #1 contains no reportable assets.

Part VII, line 2: "Dividend" is a term used by NYL to represent a partial return of premiums when there are excess funds generated by the pool of policy holders. It is not indicative of underlying assets.

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 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Spaeth, Autumn D.

Date of Report

11/12/2018

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/ Autumn D. Spaeth**

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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