

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Birotte, Jr., Andre	2. Court or Organization United States District Court, Central District of California	3. Date of Report 08/12/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address United State District Court 350 W. First Street Los Angeles, CA 90012		
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.	Trustee	Trust #1
2.	Trustee	Trust #2
3.		
4.		
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 12

Name of Person Reporting

Biotte, Jr., Andre

Date of Report

08/12/2019

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 12

Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/12/2019

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.		
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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/12/2019

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. Wells Fargo (cash) (X)	A	Interest	L	T					
2. Invesco Developing Markets Fund A (GTDDX) (X)	A	Dividend	J	T					
3. Janus Henderson Global Select Fund D (JANRX)	C	Dividend	K	T					15
4. MassMutual Whole Life Policy (X)		None	L	T					
5. Rental Property, Newark, NJ (1/2 interest)	E	Rent	N	W					24
6. IRA #1 (H)									
7. Flexshares Qual Div ETF (QDF) (X)	A	Dividend			Sold	06/20/18	J	A	
8. Goldman Sachs Actvbeta US Lrg ETF (GSLC) (X)	A	Dividend	J	T					
9. Invesco Optimum Yield Diversified Commodity Strategy No K-1 ETF (PDBC)		None			Buy	02/07/18	J		
10.					Sold	12/17/18	J		
11. iShares Edge MSCI Min Vol Globl ETF (ACWV)	A	Dividend	K	T	Buy	11/09/18	J		
12.					Buy (add'l)	12/28/18	J		
13. Schwab US Large Cap ETF (SCHX) (X)	A	Dividend	J	T					
14. SPDR Mid Cap ETF (SPMD)	A	Dividend	J	T	Buy	06/20/18	J		
15. SPDR MSCI ACWI Ex-US ETF (CW1) (X)	A	Dividend	K	T	Buy (add'l)	06/20/18	J		
16.					Sold (part)	12/28/18	J		
17. Vanguard Short Term Cor Bd ETF (VCSH)	A	Dividend	J	T	Buy	10/17/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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Birotte, Jr., Andre

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18. Vanguard Total World Stock ETF (VT) (X)	A	Dividend	K	T					
19. Angel Oak Multi Strategy Incm Fd A (ANGLX) (X)	A	Dividend	J	T					
20. Doubleline Total Return Bd Fd Cl N (DLTNX) (X)	B	Dividend	K	T	Buy (add'l)	02/08/18	J		
21.					Sold (part)	12/17/18	J		
22. Eaton Vance Global Macro Abs Ret A (EAGMX) (X)	A	Dividend	J	T					
23. JPMorgan Short Duration Bond A (OGG1Z) (X)	A	Dividend	J	T					
24. Palmer Square Incm Plus Fd I (PSYPX) (X)	A	Dividend	J	T					
25. AQR Lg Cap Defensive Style N (AUENX) (X)	A	Dividend	K	T	Sold (part)	06/20/18	J	A	
26.					Sold (part)	10/17/18	J	A	
27. AQR Lg Cap Momentum Style N (AMONX) (X)	A	Dividend	J	T					
28. ASG Mgd Futures Strategy Fd Cl A (AMFAX) (X)	A	Dividend			Sold (part)	10/17/18	J		
29.					Sold	11/09/18	J		
30. Baron Emrg Mkts Fd Retail (BEXFX) (X)	A	Dividend	J	T					
31. DFA US Small Cap Val Port I (DFSVX) (X)	A	Dividend	J	T					
32. Gateway Fund Cl A (GATEX) (X)		None			Sold	02/07/18	J	A	
33. Invesco Balanced Risk Alloc Fd Cl A (ABRZX) (X)		None	J	T					
34. Van Eck Cm Commodity Indx Fd A (CMCAX)	A	Dividend	J	T	Buy	12/17/18	J		

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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 6 of 12

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35. IRA #2 (H)									
36. iShares MSCI EAFE ETF (EFA)	B	Dividend	J	T					62
37. Vanguard Index Fds Total Stock Mkt ETF (VTI) (X)	B	Dividend	J	T					
38. Brokerage Account #1 (H)									
39. iShares MSCI EAFE ETF (EFA)	A	Dividend	K	T	Buy (add'l)	08/08/18	J		21
40. iShares Russell 1000 Value Index Fund (IWD)	A	Dividend	J	T					10
41. iShares Russell 2000 Value Index Fund (IWN)	A	Dividend	J	T					11
42. iShares S&P Mid Cap 400 Growth ETF (IJK)	A	Dividend	J	T					12
43. iShares S&P Small Cap Growth ETF (IJT)	A	Dividend	J	T					13
44. SPDR S&P 500 ETF Fund (SPY)	A	Dividend	J	T					17
45. Vanguard Growth Index Fund (VUG)	A	Dividend	J	T					19
46. Vanguard Total International Index Fund (VWO)	A	Dividend	J	T					20
47. Trust Account #1 (H)									
48. Fidelity Government Money Market (SPAXX) (cash equivalent) (X)	C	Dividend	M	T					
49. Goldman Sachs BK NY CD 1.20000% (38147JAT9)		None			Redeemed	03/06/18	K		27
50. Goldman Sachs BK CD FOA GE Capital 2.200000% (36161TYQ2)	B	Interest	K	T					28
51. Discover BK CD 1.555000% (254672ZX9)	A	Interest	K	T					29

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

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Birrotte, Jr., Andre

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52. California St GO BDS 02.00000% 02/01/18 (13063BP30)	A	Interest			Redeemed	02/01/18	K		46
53. California St GO BDS Ser.A 05.00000%/04/01/2018 (13063AQ49) (X)	A	Interest			Redeemed	04/02/18	L		
54. California St GO BDS 05.50000% 04/01/2018 (13063A4H4) (X)	B	Interest			Redeemed	04/02/18	K		
55. University Calif Revs For Previous 05.00000% (91412GRP2) (X)	A	Interest			Redeemed	05/15/18	K		
56. Beverly Hills Calif Pub Fin Auth Lease 04.0000% 06/01/18 (088006EJ6)	A	Interest			Redeemed	06/01/18	K		39
57. Berkeley Calif Go Ref Bds Ser. 2015 05.00000% (084113QY8) (X)	B	Interest			Redeemed	09/04/18	K		
58. California St GO BDS 05.50000% (13063A4J0) (X)	B	Interest	K	T					
59. California St Univ Rev Rev Bds Ser 05.37500% (13077CTA2) (X)	C	Interest	L	T					
60. University Calif Revs For Prev 05.00000% (91412GRQ0) (X)	B	Interest	L	T					
61. California St Economic Recovery 05.00000% (13067JKT7) (X)	B	Interest	K	T					
62. Peralta Calif Cmnty College Dist Go Bds 05.25000% (713575QX9) (X)	B	Interest	K	T					
63. California St Univ Rev Systemwide (13077DBB7)		None	K	T	Buy	12/13/18	K		
64. Metropolitan Wtr Dist Southern CA 03.5000% 07/01/21 (59266TLB5)	B	Interest	L	T					72
65. Santa Monica-Malibu Uni Sch Dist Calif 04.00000% (802498LY9)	A	Interest	L	T	Buy	06/13/18	L		
66. San Diego Calif Cmnty College Dist (797272NY3)	A	Interest	K	T	Buy	07/05/18	K		
67. Berkley Calif Uni Sch Dist Go Ref Bds (084154VG5)		None	K	T	Buy	12/14/18	K		
68. San Francisco Calif Bay Area Rapid Tran (797661VX0)	A	Interest	L	T	Buy	06/20/18	L		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 12

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Birotte, Jr., Andre

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69. Metropolitan Wtr Dist South Calif 02.00000% (59266TNC1) (X)	B	Interest	L	T					
70. California St Dept Vet Affairs Home Pur 03.40000% (130658MD6) (X)	B	Interest	K	T					
71. FPA Crescent Fund (FPACX)	D	Dividend			Sold	12/27/18	L		36
72. Lord Abbett International Opportunities Fnd F (LINF)	B	Dividend			Sold (part)	02/13/18	J	B	37
73.					Sold	12/27/18	K		
74. Virtus Global Real Estate Securities 1 (VGISX)	C	Dividend	L	T					38
75. iShares CORE S&P 500 ETF (IVV)	B	Dividend	M	T					63
76. iShares S&P 500 Growth ETF (IVW) (X)	C	Dividend	M	T					
77. iShares Tr EAFE Sml Cp ETF (SCZ)		None	K	T	Buy	12/28/18	K		
78. iShares S&P 500 Value ETF (IVE)	C	Dividend	M	T					34
79. Invesco (formerly Claymore) Bulletshares 2022 CB (BSCM)	B	Dividend	L	T					67
80. Invesco (formerly Claymore) Bulletshares 2021 CB (BSCL)	B	Dividend	K	T					71
81. Invesco (formerly Claymore) Bulletshares 2020 CB (BSCK)	B	Dividend	L	T					68
82. Invesco (formerly Claymore) Bulletshares 2019 CB (BSCJ)	B	Dividend	L	T					69
83. Invesco (formerly Claymore) Bulletshares 2018 CB (BSCL)	B	Dividend			Sold	12/28/18	K		70
84. Trust Account #2 (H)									
85. Fidelity Government Money Market (SPAXX) (cash equivalent) (X)	B	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

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86. California St Dept Wtr Res Pwr Supply 05.00000% (13066YNL9) (X)		None			Redeemed	05/01/18	K		
87. California St Dept Wtr Res Pwr Supply 05.00000% (13066YNM7) (X)		None			Redeemed	05/01/18	K		
88. University Calif Revs For Previous 05.00000% (91412GRP2) (X)	A	Interest			Redeemed	05/01/18	J		
89. California St Economic Recovery 05.00000% (13067JMY4) (X)	B	Interest			Redeemed	07/02/18	K		
90. Santa Clara Calif Uni Sch Dist Go Bds 04.00000% (801495YT3) (X)	A	Interest			Redeemed	07/02/18	J		
91. Sweetwater Calif Un High Sch Dist Go Bds 05.62500% (870462QJ0) (X)	B	Interest			Redeemed	08/01/18	K		
92. California St Go Bds 05.00000% (13063CLQ1) (X)	C	Interest			Redeemed	10/01/18	K		
93. California St Go Bds 05.50000% (13063A4J0) (X)	C	Interest	L	T					
94. California St Univ Rev Rev Bds Ser 05.25000% (13077CSM7) (X)	B	Interest	K	T					
95. Peralta Calif Cmnty College Dist Go Bds 05.25000% (713575QX9) (X)	B	Interest	K	T					
96. California St Var Purp Go and Go Ref 05.00000% (13063BMV1) (X)	C	Interest	L	T					
97. San Mateo Calif Un High Sch Dist Go Ref 05.00000% (799017MZ8) (X)	B	Interest	K	T					
98. California St Tax Exempt Var Purp (13063C4G2)	B	Interest	L	T	Buy	06/13/18	L		
99. California St Go Bds 02.25000% (13063CGK0) (X)	A	Interest	K	T					
100. San Diego Calif Cmnty College Dist (797272NY3)	A	Interest	K	T	Buy	07/05/18	K		
101. California St Go Bds Ser 2016 (13063CZN3)	B	Interest	L	T	Buy	06/20/18	L		
102. Berkely Calif Uni Sch Dist Go Ref Bds (084154VG5)		None	L	T	Buy	12/14/18	L		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 12

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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)
103. San Francisco Calif Bay Area Rapid Tran (797661VX0)	A	Interest	L	T	Buy	06/20/18	L		
104. University Calif Revs Rev Bds Ser (91412G6M2)		None	K	T	Buy	12/13/18	K		
105. San Francisco Calif City & Cnty Go Bds 03.00000% (797646SS6) (X)	B	Interest	L	T					
106. Berkeley Calif Uni Sch Dist Go Ref Bds 02.00000% (084154WQ2) (X)	A	Interest	K	T					
107. Deutsche Global Infrastru Fd Inst (TOLIX) (X)	A	Interest			Sold	12/17/18	L		
108. Franklin K2 Alt Strat (FABZX)	C	Dividend	M	T					31
109. Goldman Sachs Emerg Mkts Eq. (GEMIX)	A	Dividend	M	T	Sold (part)	02/14/18	K	D	30
110. Lord Abbett Intl Opportunities Fnd F (LINFx)	C	Dividend			Sold	12/27/18	K		66
111. iShares Core S&P 500 ETF (IVV)	C	Dividend	M	T	Sold (part)	05/31/18	K	D	33
112. iShares Tr EAFE Sml Cp ETF (SCZ)		None	K	T	Buy	12/28/18	K		
113. Vanguard FTSE Developed Mkt ETF (VEA)	D	Dividend	N	T	Sold (part)	02/14/18	J	B	35
114. Vanguard Index Tr Vanguard Extended Market Vipers (VXF)	C	Dividend	N	T	Sold (part)	05/31/18	K	D	64
115. Invesco (formerly Claymore) Bulletshares 2020 HY (BSJK) (X)	B	Dividend	L	T					
116. Invesco (formerly Claymore) Bulletshares 2019 HY (BSJJ) (X)	A	Dividend	K	T					
117. Invesco (formerly Claymore) Bulletshares 2018 HY (BSJI) (X)	A	Dividend			Sold	12/28/18	K	A	

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 11 of 12

Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/12/2019

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

This report has been reorganized by account, with assets listed in brokerage order. As a result, more than one line of the current report might correspond with a single line in the prior report and, where appropriate, multiple lines in the prior report have been consolidated herein. Where necessary for clarity, corresponding line numbers in the prior report have been included in Column D(5) for ease of review. This is not indicative of reportable transactions.

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.

Because I previously served as a co-executor of an estate, many holdings related to this fiduciary position were added to my report. When that role ended, estate holdings nonetheless were carried forward in my report. Final distributions to me are introduced into this report with "(X)." In addition, items from Part VII, lines 1-9, 14, 16, 18, 22, 25, 32, 40-45, 47-59, 61, 65, and 73-100 of the 2017 report have been omitted from this report as they ceased being reportable. There are no corresponding reportable transactions.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Birotte, Jr., Andre

Date of Report

08/12/2019

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/ Andre Birotte, Jr.*

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
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