

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) McAuliffe, Barbara A.	2. Court or Organization Eastern District of California, Fresno Division	3. Date of Report 06/09/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address Magistrate Judge Barbara A. McAuliffe Robert E. Coyle U.S. Courthouse 2500 Tulare St. Fresno, CA 93721		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	ABA	2/4/16-2/7/16	San Diego, CA	Bar association meeting	airfare, food, and lodging (partial reimbursement)
2.	ABA	4/14/16-4/16/16	Cincinnati, OH	Bar association meeting	airfare, food, and lodging (partial reimbursement)
3.	ABA	8/5/16-8/7/16	San Francisco, CA	Bar association meeting	airfare, food, and lodging (partial reimbursement)
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.		trip to Morro Bay	\$2,000.00
2.		cruise	\$5,000.00
3.		necklace	\$700.00
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.			

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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. Premier Valley Bank	A	Interest	K	T					
2. Charles Schwab (401K)									
3. --Schwab US Tres. money fund	A	Interest	J	T					
4. --Bank of America	A	Int./Div.	K	T	Sold (part)	05/12/16	J	A	
5. --Am Fund cap world growth	A	Dividend	K	T					
6. --Dodge&Cox IntlStck Fund	A	Int./Div.			Sold	02/16/16	J	A	
7.									
8. AT&T	A	Dividend	J	T					
9.									
10.									
11.									
12.									
13. Chevron	A	Dividend	J	T					
14.									
15.									
16.									
17. Integrys Energy Crp Inc	A	Dividend	J		Closed	08/22/16	J		

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		

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18. Johnson & Johnson	A	Dividend	J	T					
19. Kinder Morgan Energy LP	A	Dividend	J	U					
20. Kraft Foods	A	Dividend			Sold	05/21/15	J	A	
21. Legg Batry Intl Eq C	A	Dividend			Sold	08/05/16	J	A	
22.									
23.									
24.									
25.									
26.									
27.									
28. Pfizer Inc	A	Dividend	J	T					
29. Southern Company	A	Dividend	J	T					
30. Weingarten Rlty Invs SBI		None	J	T					
31. Wells Fargo & Co	A	Dividend	J	T					
32.									
33.									
34.									

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35.									
36.									
37.									
38.									
39.									
40.									
41. Sterne Agee Cas Tr Ser Treas Money market fund		None			Closed	08/05/16	J	A	
42.									
43. Vanguard Balanced Index Fund	A	Dividend	K	T					
44. Vanguard Total Stock Market Admiral Fund	A	Dividend	K	T					
45. Vanguard 500 Index Fund Admiral	A	Dividend	K	T					
46.									
47. VanguardMid-Cap Index Fund	A	Dividend	J	T					
48. Vanguard LifeStrategy Conserv. Grwth	A	Dividend	K	T	Buy (add'l)	01/05/16	J		
49. Vanguard Energy Fund Investor	A	Dividend	J	T					
50. Vanguard Explorer	A	Dividend	J	T					
51. Vanguard Cal Intermediate Tx Exempt	A	Dividend	J	T					

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52. Vanguard Wellesley Income	A	Dividend	J	T					
53. Alcoa Inc	A	Int./Div.	J	T					
54. Applied Materials Inc	A	Dividend	J	T					
55. Cardinal Health Inc	A	Dividend	J	T					
56. Costco wholesale Inc	A	Dividend	J	T					
57. EMC Corp		None			Merged (with line 68)	11/01/16	J		
58. EOG Resources Inc	A	Dividend	J	T					
59. Exxon Mobil Corp	A	Dividend	J	T					
60. Gildan Activewear Inc	A	Dividend	J	T					
61. Medtronic PLC	A	Dividend	J	T					
62. Merck & Co	A	Dividend	J	T					
63. Monsanto Co	A	Dividend	J	T					
64. Schlumberger Ltd	A	Dividend	J	T					
65. Stryker Corp	A	Dividend	J	T					
66. Nuveen High Yield Muni Bond	A	Int./Div.			Sold	08/10/16	K	A	
67. Arconic	A	Dividend	J	T	Spinoff (from line 53)	11/01/16	J		
68. Dell Technologies	A	Dividend	J	T					

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69. General Electric	A	Dividend	J	T	Buy	01/05/16	J		
70. Schwab Intermediate term bond fund (Schwab 401K)	A	Int./Div.	J	T	Buy	01/17/16	J		
71. Schwab Fundamental US Large index (Schwab 401K)	A	Int./Div.	J	T	Buy	05/12/16	J		
72. Schwab Fundament US Small index (Schwab 401K)	A	Int./Div.	J	T	Buy	05/12/16	J		
73. Schwab Total Bond fund	A	Interest	J	T	Buy	09/16/16	J		
74. Schwab Fundamental US large index	A	Int./Div.	J	T	Buy	09/16/16	J		
75. WEC Energy Group	A	Dividend	J	T	Spinoff (from line 17)	08/22/16	J		
76. Schwab "Cash, Money Market and Deposit Account"	A	Int./Div.	J	T	Merged (with line 41)	08/05/16	J		

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

Lines 53 and 67, Alcoa Corp split into 2 companies: Alcoa and Arconic. That is why is there a new "Arconic" stock without an associate "buy"
<http://www.cnbc.com/2017/01/20/whats-in-a-name-former-heavyweight-splits-into-arconic-and-alcoa.html>

Lines 57 and 68, EMC Corp merged into Dell Technologies in September 2016. https://www.nytimes.com/video/business/dealbook/100000004631627/dell-closes-67-billion-merger.html?ref=collection%2Ftimestopic%2FEMC%20Corporation&action=click&contentCollection=business®ion=stream&module=stream_unit&version=latest&contentPlacement=3&pgtype=collection

Line 20, is correcting the prior year (2015) report which should have recorded that I sold all of Kraft stock on 5/21/15 and 2015 financial report erroneously recorded Kraft "sold (in part)"

WEC Energy Group (line 75) acquired Integrys (line 17) approximately August 2016. <http://www.nasdaq.com/article/wec-energy-driven-by-integrys-deal-systematic-investments-cm668992>. I could not get line 17 to accept the notation

Line 48 - each month is an additional buy, but there was no way to show monthly

Lines 76 and 41 - assets were moved to Schwab accounts and the "cash" in line 41 account was moved to line 76 account (the Stern Acct was closed and the Schwab acct opened)

Line 69 - purchased General Electric on 1/5/16

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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/ **Barbara A. McAuliffe**

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