

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) Pregerson, Dean D.	2. Court or Organization Central District of California	3. Date of Report 05/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	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 312 N. Spring 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. Advisory Board Member	Salvation Army Los Angeles Metropolitan
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 10

Name of Person Reporting

Pregerson, Dean D.

Date of Report

05/07/2019

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 10

Name of Person Reporting

Pregerson, Dean D.

Date of Report

05/07/2019

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 10

Name of Person Reporting

Pregerson, Dean D.

Date of Report

05/07/2019

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. Real Estate, Pacific Palisades, CA	G	Rent	P1	W					
2. Brokerage Account #1 (H)									
3. Schwab Money Market (SWFXX) (cash)	A	Int./Div.	J	T					
4. MICROSOFT CORP (MSFT)	D	Dividend	O	T					
5. Metlife Ins Co of Connecticut Annuity (variable) (H) (Y)									
6. Pimco Total Return (Y)									
7. Pioneer Strat Income (Y)									
8. Met Eaton Floating (Y)									
9. MFS Emerging Markets (Y)									
10. Amer Funds Growth (Y)									
11. Harris Oakmark Intl (Y)									
12. Met Intl SM Company (Y)									
13. Brock Bond Income (Y)									
14. Neub Berman Genesis (Y)									
15. MFSValue Portfolio A (Y)									
16. LMIS Say SMCap Core (Y)									
17. Clarion Global Real (Y)									

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 10

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Pregerson, Dean D.

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05/07/2019

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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. IRA #1 (H)									
19. Schwab Money Market (SWGXX)	A	Int./Div.	K	T					
20. DoubleLine Total Return Bond I (DBLTX)	C	Int./Div.	L	T	Buy (add'l)	01/12/18	K		
21. GUGGENHEIM MACRO OPPTY GUGGENHEIM MACRO OPPTY (GIOIX)	A	Dividend			Buy (add'l)	01/12/18	K		
22.					Sold	02/14/18	L		
23. ROBINSON TAX ADVANTAGED (ROBNX)	C	Dividend	L	T	Buy	02/15/18	L		
24. Riverpark Short Term Hi Yield (RPHIX)	B	Dividend	L	T	Buy (add'l)	01/12/18	J		
25. Stone Ridge ALT Lending (LENDX)	D	Dividend	L	T	Buy (add'l)	02/01/18	J		
26. VOYA Securitized Credit (VCFIX)	C	Dividend	L	T	Buy (add'l)	01/12/18	J		
27. Doubleline Strategic Commodity Fd I (DBCMX)	A	Dividend	K	T	Buy	07/18/18	K		
28. ELEMENTS EMERGING MARKETS PORT (ELMMX)	B	Dividend	K	T	Buy (add'l)	01/12/18	J		
29. ELEMENTS INTERNATIONAL PORT: (ELINX)	C	Dividend	M	T	Sold (part)	01/12/18	J		
30. ELEMENTS INTERNATIONAL SMALL CAP PORT: (ELISX)	A	Dividend	K	T	Sold (part)	01/12/18	J		
31. ELEMENTS US PORT: (ELUSX)	D	Dividend	N	T	Sold (part)	01/12/18	L		
32. ELEMENTS US SMALL CAP: (ELSMX)	A	Dividend	L	T	Sold (part)	01/12/18	J		
33. Glenmede Secured Options Inst. (GLSOX)	B	Dividend	L	T	Buy (add'l)	01/12/18	K		
34. Goldman Sachs MLP Energy (GMLPX)	C	Dividend	L	T	Buy	05/23/18	L		

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 10

Name of Person Reporting

Pregerson, Dean D.

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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 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. Stoneridge All Asset Risk Premium (AVRPX)		None	L	T	Buy (add'l)	02/01/18	J		
36.					Sold (part)	07/13/18	K		
37. StoneRidge Reinsurance Risk Premium Fd (SRRIX)	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
38.					Sold (part)	05/18/18	L		
39. IRA #2 (H)									
40. Schwab Govt Money Fund (SWGXX) (X)	A	Int./Div.	J	T					
41. Angel Oak Multi-Strategy Fund (ANGIX)	A	Dividend			Sold	01/12/18	J		
42. Double Line Total Return Bond (DBLTX)	A	Dividend	J	T					
43. ROBINSON TAX ADVANTAGED (ROBNX)	A	Dividend	J	T	Buy	02/15/18	J		
44. STONE RIDGE ALT LENDING (LENDX)	A	Dividend	J	T	Buy	02/01/18	J		
45. VOYA SECURITIZED CREDIT (VCFIX)	A	Dividend	J	T	Buy	01/12/18	J		
46. DOUBLELINE STRATEGIC (DBCMX)	A	Dividend	J	T	Buy	07/18/18	J		
47. GUGGENHEIM MACRO OPPTY INST (GIOIX)	A	Dividend			Sold	02/14/18	J		
48. PIMCO Total Return Fund (PTTRX)	A	Dividend			Sold	01/12/18	J		
49. AMG Yackman Fund (YACKX)		None			Sold	01/12/18	J		
50. DRIEHAUS FRONTIER EMRG MKTS FD (DRFRX)	A	Dividend	J	T					
51. ELEMENTS INTERNATIONAL PORT: (ELINX)	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Pregerson, Dean D.

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52. ELEMENTS US PORT: (ELUSX)	A	Dividend	J	T	Buy (add'l)	01/12/18	J		
53. ELEMENTS US SMALL CAP: (ELSMX)	A	Dividend	J	T	Sold (part)	01/12/18	J		
54. GLENMEDE SECURED OPTIONS (GLSOX)	A	Dividend	J	T	Buy	01/12/18	J		
55. GOLDMAN SACHS MLP ENERGY (GMLPX)	A	Dividend	J	T	Buy	05/23/18	J		
56. Oakmark International Sm Cap Fd (OAKEX)	A	Dividend	J	T					
57. Stoneridge All Asset (AVRPX)		None	J	T	Sold (part)	07/18/18	J		
58. Stoneridge Reinsurance Risk Premium Fund (SRRIX)		None			Sold	05/18/18	J		
59. Trust #1 (H)									
60. iShares Russell 2000 (IWM)	B	Dividend	M	T					
61. Vanguard Growth (VUG)	B	Dividend	M	T					
62. XTRACKERS MSCI EURPE HDGD EQY ETF (DBEU)	C	Dividend	M	T					
63. ANGEL OAK MULTI STRATEGY INCM FD INSTL (ANGIX)	D	Dividend	M	T	Buy (add'l)	06/25/18	J		
64. Doubleline Total Return (DBLTX)	B	Dividend			Sold	05/30/18	M		
65. EATON VANCE FLOATING RATE & HIGH INC 1 (EIFHX)	D	Dividend	M	T					
66. Osterweis Strategic Income Fund (OSTIX)	B	Dividend	M	T	Buy	06/25/18	M		
67. VANGUARD SHORT TERM TAX EXEMPT ADMIRAL SHARE (VWSUX)	C	Dividend	N	T	Buy (add'l)	06/25/18	K		
68. ARIEL INTL FD INST (AINIX)	B	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Pregerson, Dean D.

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69. Matthews Asia Dividend (MPIX)	D	Dividend	M	T					
70. Vanguard Mid Cap Value Index (VMVAX)	D	Dividend	M	T					
71. Vanguard 500 Index Fund (VFIAX)	D	Dividend	N	T					
72. WCM Focused Int'l Growth Fund (WCMIX)	D	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Pregerson, Dean D.

Date of Report

05/07/2019

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

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 10 of 10

Name of Person Reporting

Pregerson, Dean D.

Date of Report

05/07/2019

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/ **Dean D. Pregerson**

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