

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) Scott, Karen E.	2. Court or Organization U.S. District Court, Central District of California	3. Date of Report 05/09/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (full-time)	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 Ronald Reagan Federal Building and Courthouse 411 West Fourth Street 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. Judicial Advisory Board Member	Constitutional Rights Foundation - Orange County
2. Trustee	Trust #1W
3. Trustee	Trust #2S
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.	

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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.)*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. 2018

Raytheon Missile Systems (salary)

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. _____

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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. Brokerage Account #1 (H)									
2. -Dreyfus Appreciation Fund	E	Distribution	M	T	Buy (add'l)	01/19/18	J		
3. -Dreyfus Opportunistic Small Cap Fund	D	Distribution	K	T					
4. -Dreyfus Technology Growth Fund	B	Distribution	J	T					
5. -Dreyfus CA AMT-free Muni Bond Fund	D	Dividend	N	T					
6. TD-Ameritrade Money Market	A	Interest	K	T					
7. US Bank	A	Interest	L	T					
8. Brokerage Account #2 (H)									
9. -American Funds Balanced R6	C	Dividend							
10. -Fidelity Adv Tech Inst	D	Dividend							
11. -Columbia Small Cap Fund Z	C	Dividend							
12. -Columbia Mid Cap Value Z	D	Dividend							
13. -Franklin Small-Mid Cap Growth ADV	D	Dividend							
14. -American Funds Euro Pacific Gr R6	A	Dividend							
15. -Vanguard Institutional Index	E	Dividend							
16. NW Mutual Life Insurance -adjustable	C	Int./Div.	M	T					
17. NY Life - Whole Life Policy #1	A	Int./Div.	J	T					

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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☐ 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. NY Life - Whole Life Policy #2	A	Int./Div.	J	T					
19. Chase Bank (H)									
20. -Checking #1J	A	Interest	J	T					
21. -Checking #2	A	Interest	J	T					
22. -Savings	A	Interest	L	T					
23. Brokerage Account #3 (H)									
24. -Harris Oak MRK Global	A	Dividend	L	T					
25. -Janus Balanced N	B	Dividend	K	T					
26. -NT Aggreg. Bond Index	A	Dividend	K	T					
27. -NT S&P 500 Index	A	Dividend	M	T					
28. -PIM Total RT Inst.	A	Dividend	L	T					
29. -TRP Inst. Small Cap STK	A	Dividend	K	T					
30. Brokerage Account #4 (H)									
31. -American Funds Balanced Fund	B	Dividend	L	T	Buy (add'l)	09/24/18	J		
32. -American Funds Capital Income Builder	A	Dividend	K	T					
33. -American Funds Growth Fund	C	Dividend	K	T					
34. Northrop Grumman common stock	A	Dividend	J	T					

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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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35. Brokerage Account #5 (H)									
36. -American Funds - AM Balanced	C	Distribution	L	T					
37. -American Funds - Euro Pac Growth	A	Distribution	K	T					
38. -Fidelity Small Cap Index	C	Distribution	L	T					
39. -JP Morgan Mid Cap Growth	D	Distribution	L	T					
40. -Wells Fargo Spec Mid Cap	C	Distribution	M	T					
41. -T.Rowe Price Growth Stock I	C	Distribution	K	T					
42. -Vanguard Inst. Index Fund	B	Distribution	M	T					

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

Part I, line 2: Trust #1W owns the assets listed in Part VII at lines 5, 6, and 7.

Part I, line 3: Trust #2S does not own any reportable assets.

Part VII, lines 8-15 and lines 35-42: On November 1, 2018, as part of a change in administration for this 401(k) account, all the investments in Brokerage Account #2 were liquidated and reinvested per a set formula in the funds identified in Brokerage Account #4. As a result, the value of all the funds in Brokerage Account #2 at the end of 2018 was zero.

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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/ **Karen E. Scott**

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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