

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) Spaeth, Autumn D.	2. Court or Organization US District Court - Central District of California	3. Date of Report 07/31/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address United States Courthouse 411 W. Fourth St. Santa Ana, CA 92701		
IMPORTANT NOTES: <i>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>		

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. Judicial Board Member (current)	Federal Bar Association - Orange County Chapter
3. Board of Directors (former)	Federal Bar Association - Orange County Chapter
4. Board of Directors (former)	Orange County Bar Association
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.)*

<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.		
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. 2018	Episource LLC (salary)
2. 2018	Beacon Healthcare (salary)
3. 2018	Optum Services (deferred executive compensation)
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.				
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Sheppard, Mullin, Richter & Hampton	Baseball Tickets	\$1,050.00
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.			

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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. Wells Fargo (savings) (cash) (X)	A	Interest	K	T					
2. Bank of America (cash)	A	Interest	L	T					
3. New York Life Custom Whole Life Insurance	A	Dividend	J	T					
4. Rental Property #1, Aliso Viejo, CA	E	Rent	N	W					
5. Coin collection		None	K	T					
6. Chevron Corp (CVX) (X)	A	Dividend	J	T					
7. IRA #1 (H)									
8. ABERDEEN STD PLATINUM ETF (PPLT) (FORMERLY PHYSICAL PLATINUM SHRS)		None	J	T					
9. ABERDEEN STD SILVER ETF (SIVR) (FORMERLY SILVER TR SILVER SHS)		None	K	T					
10. ISHARES GOLD TRUST ISHARES (IAU)		None	J	T					
11. SPDR GOLD TR GOLD SHS (GLD)		None	J	T					
12. CAMECO CORP COM NPV (CCJ)	A	Dividend	J	T					
13. SPROTT PHYSICAL GOLD TRUST (PHYS)		None	J	T					
14. URANIUM ENERGY CORP (UEC)		None	J	T					
15. GOLD - BULLION BAR -- 5 OZ. (GB5)		None	J	T					
16. SILVER - SILVER BAR -- 10 OZ. (SB10A)		None	K	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 = \$250,000,001 - \$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	

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17. GOLD - BULLION BAR -- 10 OZ. (GB10)		None	K	T					
18. RETIREMENT ACCT #1 (H)									
19. Invesco Diversified Dividend Investor (LCEIX)		None	J	T					
20. Vanguard Target Retirement Income Inv (VTINX)		None	J	T					
21. Vanguard Total Bond Market Index Inv (BND)		None	J	T					
22. Putnam Stable Value Fund 50		None	K	T					
23. RETIREMENT ACCT #2 (H)									
24. Inv Govt & Agcy Prt (AGPXX)		None	K	T					
25. RETIREMENT ACCT #3 (H)									
26. American Funds Capital World Growth Income R3 (RWICX)		None			Sold	09/11/18	J		
27. American Funds Interm Bd Fd of Amer R3 (RBOCX)	A	Dividend			Sold	09/11/18	M		
28. Lord Abbett Total Return R3 (LTRRX)	B	Dividend			Sold	09/11/18	M		
29. American Funds 2040 Target Date Fd R3 (RCKTX)		None			Sold	09/11/18	J		
30. BROKERAGE #1 (H)									
31. ISHARES SILVER TR (SLV)		None	J	T					
32. FIRST MAJESTIC SILVER CORP (AG)		None	J	T					
33. UNITED HEALTH GROUP (UNH)	A	Dividend	K	T					

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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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34. WHEATON PRECIOUS METALS CORP (WPM)	A	Dividend	J	T					
35. HSA #1 (H)									
36. Vanguard 500 Index (VOO)		None	J	T					
37. Vanguard Equity Income (VEIPX)		None	J	T					
38. Vanguard Wellington Fund (VWELX)		None	J	T					
39. 529 #1 (H)									
40. TIAA Principal Plus Interest Portfolio 2954		None	J	T					
41. 529 #2 (H)									
42. TIAA Principal Plus Interest Portfolio 2954		None	J	T					

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

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

Part VII, line 3: "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.

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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/ 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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