

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Shubb, William B.	2. Court or Organization U. S. District Court	3. Date of Report 04/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U. S. District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 501 I Street Suite 14-210 Sacramento, CA 95814		
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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Name of Person Reporting	Date of Report
Shubb, William B.	04/30/2020

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.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE 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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. (H) BANK ACCOUNTS									
2. Bank America Accounts	A	Interest	M	T					
3. 1st Community Credit Union	A	Interest	J	T					
4.									
5. (H) ANNUITIES									
6. American Skandia - BlackRock-Loomis Bond, fmrlly PIMCO Total Return		None	K	T					
7. American Skandia - T Rowe Price Large Cap Fund		None	K	T					
8. American Skandia - Cohen & Steers Realty Fnd		None	K	T					
9. American Skandia - Western Asset Bond fmrlly Lord Abbett Core Bond		None	K	T					
10. American Skandia - Profund Large Cap		None	K	T					
11.									
12. Venture Annuity - US Equity Fund		None	K	T					
13.									
14. (H) LIMITED PARTNERSHIPS									
15. Municipal Mortg. & Equity	A	Dividend			Distributed	08/27/19	J		
16.									
17.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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Name of Person Reporting

Shubb, William B.

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. (H) RAYMOND JAMES IRA									
19. RJ Bank Dep.	A	Dividend	J	T	Sold (part)	12/24/19	J		
20. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
21.									
22. (H) RAYMOND JAMES (Trust - A826)									
23. RJ Bank Dep. Program	A	Dividend	J	T					
24. MMA Capital Holdings		None	J	T	Spinoff (from line 15)	08/27/19	J		
25. AB Muni Income	B	Dividend			Sold	08/15/19	M	D	
26. Invesco Interm Muni Fnd	A	Dividend	K	T					
27. Invesco Oppenheimer Rochester CA Muni Fund "C"	D	Dividend	L	T	Buy	08/15/19	M		
28.					Buy (add'l)	11/21/19	L		
29. Invesco Equity & Income Fund "C"	A	Distribution	L	T					
30. Invesco Equity & Income Fund "A"	B	Dividend	L	T					
31. Franklin Income Fund "A1"	C	Dividend	L	T					
32. Franklin Income Fund "A"	B	Dividend	K	T					
33. Franklin Income Fund "C"	A	Dividend	K	T					
34. PGIM QMA Stock Fund, frmly Prudential Stock Index Fund "C"	C	Dividend	N	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 =\$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	

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☐ NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

35. J Hancock Regional Bank Fund	B	Dividend			Sold	08/15/19	L		
36. Putnam Focused Equity Fund "C", frmrlly Putnam Global Industrials fund	B	Dividend	N	T					
37.									
38. (H) WF ADVISORS-IRA (B)									
39. WF Bank Deposit Sweep	A	Dividend	J	T					
40. Equally Weighted S&P Fund	A	Dividend	L	T					
41. New Perspective Fund	A	Dividend	J	T					
42.									
43. (H) WF ADVISORS -Trust									
44. WF Bank Deposit Sweep	A	Dividend	K	T					
45. Boeing	C	Dividend	M	T					
46. Chevron	B	Dividend	M	T					
47. Coca Cola	B	Dividend	K	T					
48. Intel	A	Dividend	K	T					
49. Proctor & Gamble	B	Dividend	L	T					
50. Investment Company of America	D	Dividend	N	T	Buy (add'l)	08/05/19	K		
51.					Buy (add'l)	08/26/19	J		

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52.					Buy (add'l)	12/23/19	J		
53. New Perspective Fund	D	Dividend	O	T	Buy (add'l)	08/05/19	K		
54.					Buy (add'l)	08/26/19	J		
55.					Buy (add'l)	12/23/19	K		
56.									
57. (H) IRA - S									
58. Diversified Dividend Fund	A	Dividend	J	T	Sold (part)	12/17/19	J		
59. Apache Corp.	A	Dividend	J	T					
60. Sempra Energy	A	Dividend	J	T					
61.									
62. (H) IRA/ROLLOVER of HR-10									
63. WF Bank Deposit Sweep	A	Dividend	J	T					
64. Franklin Income Fund	D	Dividend	M	T					
65. Equally Weighted S&P 500	C	Dividend	M	T					
66. Diversified Dividend Fund	C	Dividend	M	T					
67. Abbott Labs	B	Dividend	M	T					
68. A T & T	C	Dividend	L	T					

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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69. Boeing	B	Dividend			Sold	03/11/19	K	E	
70. Bristol Meyers	B	Dividend	L	T					
71. Chevron	C	Dividend	L	T					
72. Coca Cola	B	Dividend	L	T					
73. Conoco	A	Dividend	K	T					
74. Corteva	A	Dividend	J	T	Spinoff (from line 77)	06/03/19	J		
75. Disney	B	Dividend	M	T					
76. Dow Inc	A	Dividend	J	T	Spinoff (from line 77)	04/02/19	J		
77. DuPont Inc	B	Dividend	J	T					
78. Intel	B	Dividend	M	T					
79. IBM	B	Dividend	K	T					
80. Johnson & Johnson	C	Dividend	M	T					
81. Phillips 76	B	Dividend	L	T					
82. Proctor & Gamble	C	Dividend	M	T					
83. Sempra Energy	B	Dividend	L	T					
84. Target	A	Dividend			Sold	08/26/19	K	D	
85. Yum Brands	A	Dividend	K	T					

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86. Yum China Holdings	A	Dividend	K	T					
87. Capitol One 5.00% Pfd Perp Maty	A	Dividend	K	T	Buy	12/31/19	K		
88. PS Bus Parks 5.75% Pfd	B	Dividend			Sold	11/22/19	K		
89. PS Bus Parks 4.875% Pfd Series Z Perp Maty	A	Dividend	K	T	Buy	12/31/19	K		
90. Public Storage 4.90% Pfd 10/14/2021	A	Dividend	K	T					
91. Public Storage 5.2% Pfd 01/16/2018	B	Dividend	K	T					
92. Public Storage 5.125% Pfd 5/17/2021	C	Dividend	L	T					

1 Income Gain Codes:

(See Columns B1 and D4)

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(See Columns C1 and D3)

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R =Cost (Real Estate Only)

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

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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/ William B. Shubb**

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