

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) Pregerson, Dean D.	2. Court or Organization Central District of California	3. Date of Report 03/11/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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Name of Person Reporting

Pregerson, Dean D.

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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.)*

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.

Name of Person Reporting Pregerson, Dean D.	Date of Report 03/11/2020
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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.		
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.		
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. Individual Assets (H)									
2. Real Estate, Pacific Palisades, CA	F	Rent	P1	W					
3. Brokerage Account #1 (H)									
4. Schwab Money Market (SWFXX) (cash)	A	Interest	K	T					
5. MICROSOFT CORP (MSFT)	D	Dividend	P1	T					
6. IRA #1 (H)									
7. Schwab Money Market (SWGXX)	A	Interest	J	T					
8. Crossingbridge Low Dur High Yield I (CBLDX)	A	Dividend	J	T	Buy	09/19/19	J		
9. DoubleLine Total Return Bond I (DBLTX)	C	Dividend	M	T	Buy (add'l)	07/17/19	K		
10. Riverpark Floating Rate CMBS Fd I (RCRIX)	B	Dividend	L	T	Buy	03/20/19	K		
11.					Buy (add'l)	06/19/19	K		
12.					Buy (add'l)	12/11/19	K		
13. Riverpark Short Term Hi Yield (RPHIX)	B	Dividend	L	T					
14. ROBINSON TAX ADVANTAGED (ROBNX)	C	Dividend	L	T					
15. Stone Ridge ALT Lending (LENDX)	B	Dividend	K	T	Sold (part)	03/15/19	K		
16.					Sold (part)	06/14/19	K		
17.					Sold (part)	09/13/19	J		

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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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.					Sold (part)	12/06/19	K		
19. VOYA Securitized Credit (VCFIX)	C	Dividend	L	T					
20. Doubleline Strategic Commodity Fd I (DBCMX)	A	Dividend	L	T	Buy (add'l)	07/17/19	K		
21.					Buy (add'l)	08/29/19	J		
22. ELEMENTS EMERGING MARKETS PORT (ELMMX)	B	Dividend	L	T					
23. ELEMENTS INTERNATIONAL PORT: (ELINX)	C	Dividend	M	T	Sold (part)	01/23/19	J		
24.					Sold (part)	07/12/19	J		
25. ELEMENTS INTERNATIONAL SMALL CAP PORT: (ELISX)	B	Dividend	L	T					
26. ELEMENTS US PORT: (ELUSX)	E	Dividend	O	T	Buy (add'l)	01/15/19	L		
27.					Buy (add'l)	07/17/19	K		
28. ELEMENTS US SMALL CAP: (ELSMX)	B	Dividend	L	T					
29. Glenmede Secured Options Inst. (GLSOX)		None			Sold	01/14/19	L		
30. Goldman Sachs MLP Energy (GMLPX)	D	Dividend	L	T	Buy (add'l)	05/30/19	J		
31.					Buy (add'l)	11/27/19	J		
32. Stoneridge All Asset Risk Premium (AVRPX)		None			Sold	07/12/19	L		
33. StoneRidge Reinsurance Risk Premium Fd (SRRIX)	A	Dividend	K	T	Sold (part)	05/30/19	J		
34.					Sold (part)	08/23/19	J		

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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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.					Sold (part)	11/22/19	J		
36. IRA #2 (H)									
37. Schwab Govt Money Fund (SWGXX) (Y)									
38. Double Line Total Return Bond (DBLTX)	A	Dividend	J	T					
39. ROBINSON TAX ADVANTAGED (ROBNX)	A	Dividend	J	T					
40. STONE RIDGE ALT LENDING (LENDX)	A	Dividend	J	T	Sold (part)	12/06/19	J		
41. VOYA SECURITIZED CREDIT (VCFIX)	A	Dividend	J	T					
42. DOUBLELINE STRATEGIC (DBCMX)	A	Dividend	J	T	Buy (add'l)	07/17/19	J		
43. DRIEHAUS FRONTIER EMRG MKTS FD (DRFRX) (Y)									
44. ELEMENTS INTERNATIONAL PORT: (ELINX)	A	Dividend	J	T					
45. ELEMENTS US PORT: (ELUSX)	A	Dividend	J	T	Buy (add'l)	01/15/19	J		
46. ELEMENTS US SMALL CAP: (ELSMX)	A	Dividend	J	T					
47. GLENMEDE SECURED OPTIONS (GLSOX)		None			Sold	01/14/19	J		
48. GOLDMAN SACHS MLP ENERGY (GMLPX)	A	Dividend	J	T					
49. Oakmark International Sm Cap Fd (OAKEX)	A	Dividend	J	T					
50. Stoneridge All Asset (AVRPX)		None			Sold	07/12/19	J		
51. Trust #1 (H)									

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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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52. Schwab Govt money Market (SNVXX) (cash) (X)	A	Interest	J	T					
53. IShares Russell 2000 (IWM)	B	Dividend	M	T					
54. Vanguard Growth (VUG)	C	Dividend	N	T					
55. XTRACKERS MSCI EURPE HDGD EQY ETF (DBEU)	C	Dividend	M	T					
56. ANGEL OAK MULTI STRATEGY INCM FD INSTL (ANGIX)	D	Dividend	M	T					
57. Doubleline Total Return Bd Fd I (DBLTX)	B	Dividend	L	T	Buy	08/19/19	L		
58. EATON VANCE FLOATING RATE & HIGH INC I (EIFHX)	D	Dividend	M	T	Sold (part)	08/18/19	L		
59. Osterweis Strategic Income Fund (OSTIX)	D	Dividend	M	T					
60. VANGUARD SHORT TERM TAX EXEMPT ADMIRAL SHARE (VWSUX)	D	Dividend	N	T					
61. ARIEL INTL FD INST (AINIX)	B	Dividend	M	T					
62. Matthews Asia Dividend (MIPIX)	C	Dividend	M	T					
63. Vanguard Mid Cap Value Index (VMVAX)	D	Dividend	N	T					
64. Vanguard 500 Index Fund (VFIAX)	D	Dividend	O	T					
65. WCM Focused Int'l Growth Fund (WCMIX)	A	Dividend	M	T					

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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.

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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/ **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
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Washington, D.C. 20544