

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) Block, Robert N.	2. Court or Organization C.D. of California	3. Date of Report 04/15/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Recalled)	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 Edward J. Schwartz U.S. Courthouse 221 West Broadway, Room 3A San Diego, CA 92101		
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. Trustee	Family Trust
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Self-employed doctor
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.)

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Block, Robert N.	04/15/2020

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. Wells Fargo Bank cash accounts	A	Interest	K	T					
2. Chase Bank cash accounts	A	Interest	K	T					
3. Citibank cash accounts	A	Interest	K	T					
4. Capital One Bank cash accounts	D	Interest	M	T					
5. Credit Karma cash accounts	A	Interest	K	T	Open	11/04/19	K		
6. Note receivable--Bella Mar RV Park LLC		None	L	W					
7. Note receivable--Phair Real Estate Acquisition Fund		None	K	W					
8. RETIREMENT PLAN (H)									
9. --American Fds 2015 Trgtdtrtmt R6		None	M	T					
10. --American Fds 2020 Trgtdtrtmt R6		None	L	T					
11. --Amerrican Fds Bal R6		None	L	T					
12. --Vanguard Wellesley Income Admiral		None	M	T					
13. --Nationwide Fixed Select Option		None	O	T					
14. --National Life whole life policy	C	Dividend	M	T					
15. BROKERAGE ACCOUNT #1 (H)									
16. --JP Morgan US Govt Money Mkt Fd	D	Dividend	M	T					
17. --Apple Inc. common stock	B	Dividend	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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. --Buckeye Partners LP	B	Distribution			Sold	11/11/19	K		
19. --EQM Midstream Partners LP	C	Distribution	K	T					
20. --Magellan Midstream Partners LP	C	Distribution	K	T					
21. --Tallgrass Energy LP	B	Distribution	K	T					
22. --Andeavor Logistics LP	C	Distribution			Merged (with line 23)	07/30/19	K		
23. --MLPX	B	Distribution	K	T					
24. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	M	T	Buy (add'l)	02/01/19	L		
25. --American Ser II Tax Exempt Fd of Calif	A	Dividend	J	T					
26. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
27. --American Balanced Fd		None			Sold	02/01/19	L		
28. --American Short Term Bond Fd	B	Dividend	L	T	Sold (part)	02/01/19	K		
29. --American EuroPacific Growth Fd		None			Sold	02/01/19	J		
30. --American Intl Growth & Income Fd		None			Sold	02/01/19	J		
31. --American New World Fd		None			Sold	02/01/19	J	A	
32. --American General Stable Growth 5 Fixed Annuity	C	Interest	M	T					
33. --Protective Life Deferred Fixed Annuity	C	Interest	M	T					
34. -- Symetra Select 5 FixedAnnuity	A	Interest	N	T	Buy	12/23/19	M		

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

Block, Robert N.

Date of Report

04/15/2020

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)
35. BROKERAGE ACCOUNT #2 (H)									
36. --JP Morgan Deposit Sweep Acct		None	J	T					
37. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	N	T	Buy (add'l)	02/01/19	M		
38. --American Ser II Tax Exempt Fd of Calif	A	Dividend	J	T					
39. --American Balanced Fd		None			Sold	02/01/19	M		
40. --American Limited Term Tax Exempt Bond Fd	A	Distribution	J	T					
41. --American Short Term Bond Fd	A	Dividend	L	T	Sold (part)	02/01/19	J		
42. --American EuroPacific Growth Fd		None			Sold	02/01/19	J		
43. --American Intl Growth & Income Fd		None			Sold	02/01/19	J		
44. --American New World Fd		None			Sold	02/01/19	J	A	
45. --Blackrock 20 80 Target Allocation Fd	C	Dividend	K	T					
46. --Pimco Inc Fd	C	Dividend	L	T					
47. --Prudential Financial Inc.common stock	B	Dividend	L	T					
48. BROKERAGE ACCOUNT #3 (H)									
49. --JP Morgan US Govt Money Mkt Fd	B	Dividend	L	T					
50. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	N	T	Buy (add'l)	02/01/19	M		
51. --American Ser II Tax Exempt Fd of Calif	A	Dividend	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 =\$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 7 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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)
52. --American Balanced Fd		None			Sold	02/01/19	M	A	
53. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
54. --American Short Term Bond Fd	B	Dividend	L	T					
55. --American EuroPacific Growth Fd		None			Sold	02/01/19	J		
56. --American Intl Growth & Income Fd		None			Sold	02/01/19	J		
57. --American New World Fd		None			Sold	02/01/19	J	A	
58. --Blackrock 20 80 Target Allocation Fd	B	Distribution	L	T					
59. --Pimco Inc Fd	D	Distribution	M	T					
60. --Riverside Calif Elec Rev Bds dated 12/16/2010	A	Interest			Redeemed	10/01/19	K		
61. --State of Calif Various Purpose G/O Rfdg Bds dated 03/08/2012	B	Interest	K	T					
62. --State of Calif Various Purpose G/O Bds dated 04/01/2009	A	Interest			Redeemed	04/02/19	K		
63. --Greenfield Calif Un Sch Bds dated 11/6/19		None	K	T	Buy	10/31/19	K		
64. IRA ACCOUNT #1 (H)									
65. --JP Morgan US Govt Money Mkt Fd	A	Dividend	J	T					
66. --American Ser Tax-Advantaged Growth & Income Fd	B	Dividend	L	T	Buy (add'l)	02/01/19	K		
67. --American Balanced Fd		None			Sold	02/01/19	J	A	
68. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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)
69. --American Short Term Bond Fd	A	Dividend	K	T					
70. --American EuroPacific Growth Fd		None			Sold	02/01/19	J		
71. --American Intl Growth & Income Fd		None			Sold	02/01/19	J		
72. --American New World Fd		None			Sold	02/01/19	J	A	
73. --Blackrock 20 80 Target Allocation Fd	B	Dividend	K	T					
74. --Pimco Inc Fd	C	Dividend	L	T					
75. --Western Asset Middle Mkt Income Fd	B	Dividend	K	T					
76. IRA ACCOUNT #2 (H)									
77. --JP Morgan US Govt Money Mkt Fd	A	Dividend	J	T					
78. --American Ser Tax-Advantaged Growth & Income Fd	B	Dividend	K	T	Buy (add'l)	02/01/19	J		
79. --American Balanced Fd		None			Sold	02/01/19	J	A	
80. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	T					
81. National Life whole life policy	A	Dividend	M	T					
82. Brighthouse Life (formerly MetLife) universal life policy	D	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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

Part I. All of the assets listed in Part VII technically are held by the family trust to which I referred in Part I..

Part VII, Item Nos. 9-13. The financial entity in which these retirement plan investments are held does not credit income to the individual investments held, but rather reports only the market value of each investment as of the report date.

Part VII, Item Nos. 16, 49, 66, and 77. Each of our brokerage accounts historically has had what is known as a "sweep" deposit account for all otherwise uninvested cash. In 2019, in four of our brokerage accounts, we directed that all otherwise uninvested cash be invested automatically in the JP Morgan US Govt Money Mkt Fd.

Part VII, Item Nos 22-23. On 7/30/19, Andeavor Logistics LP was merged into MLPX. Both entities issued K-1's for 2019. So, I listed the income distributed by each.

Part VII, Item No. 32. In my previous FDR, I mistakenly reported this annuity under the name Western National Life Deferred Fixed Annuity.

Part VII, Item Nos. 32-34. We are not receiving any distributions from these deferred fixed annuities, but they are earning interest at the contract rates so I have reported the amount of interest earned during the reporting period in column B(1).

.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Block, Robert N.

Date of Report

04/15/2020

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/ **Robert N. Block**

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