AO 10
Rev. 1/2019

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)	2. Court or Organization	3. Date of Report
Birotte, Jr., Andre	United States District Court, Central District of California	08/10/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
United States District Judge (Active)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2019 **to** 12/31/2019
7. Chambers or Office Address		
United State District Court 350 W. First 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.	Trustee	Trust #1
2.	Trustee	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.		

Name of Person Reporting	Date of Report
Birotte, Jr., Andre	08/10/2020

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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Birotte, Jr., Andre	08/10/2020

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.			

Name of Person Reporting	Date of Report
Birotte, Jr., Andre	08/10/2020

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. INDIVIDUAL ASSETS (H)									
2. WELLS FARGO (CASH)	A	Interest	L	T					
3. INVESCO DEVELOPING MARKETS FUND A (GTDDX)		None	J	T					
4. JANUS HENDERSON GLOBAL SELECT FUND D (JANRX)	C	Dividend	K	T					
5. MASSMUTUAL WHOLE LIFE POLICY	B	Dividend	L	T					
6. RENTAL PROPERTY, NEWARK, NJ (1/2 INTEREST)	E	Rent	N	W					
7. IRA #1 (H)									
8. FLEXSHARES INTL QTY DIV INDEX ETF (IQDF)	A	Dividend	J	T	Buy	04/23/19	J		
9. GOLDMAN SACHS ACTVBETA US LRG ETF (GSLC)	A	Dividend	J	T					
10. iShares Edge MSCI Min Vol Glbl ETF (ACWV)	A	Dividend	K	T	Sold (part)	09/27/19	J	A	
11. Schwab US Large Cap ETF (SCHX)	A	Dividend	J	T					
12. SPDR Mid Cap ETF (SPMD)	A	Dividend	J	T					
13. SPDR MSCI ACWI Ex-US ETF (CWI)		None			Sold	04/23/19	J		
14. Vanguard Total World Stock ETF (VT)	A	Dividend	K	T					
15. Vanguard Short Term Cor Bd ETF (VCSH)	A	Dividend	J	T					
16. WSDMTRE CBOE S P 500 PUTWRT STRG ETF (PUTW)	A	Dividend	J	T	Buy	12/10/19	J		
17. Angel Oak Multi Strategy Incm Fd A (ANGLX)	A	Interest	J	T					

1 Income Gain Codes: (See Columns B1 and D4)
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
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 (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
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
P3 =$25,000,001 - $50,000,000 P4 =More than $50,000,000

3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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18.	Doubleline Total Return Bd Fd Cl N (DLTNX)	B	Interest	K	T	Buy (add'l)	12/10/19	J		
19.	Eaton Vance Global Macro Abs Ret A (EAGMX)	A	Interest	J	T					
20.	JPMorgan Short Duration Bond A (OGLVX) (formerly OGG1Z)	A	Interest	J	T					
21.	NUVEEN PREFERRED SEC & INCM FD I (NPSRX)	A	Interest	K	T	Buy	01/28/19	J		
22.						Buy (add'l)	07/01/19	J		
23.	Palmer Square Incm Plus Fd I (PSYPX)		None			Sold	01/28/19	J	A	
24.	AQR Lg Cap Defensive Style N (AUENX)	A	Dividend	K	T	Sold (part)	09/27/19	J	A	
25.	AQR STYLE PREMIA ALT LV FD CL I (QSLIX)	A	Dividend	J	T	Buy	12/10/19	J		
26.	AQR Lg Cap Momentum Style N (AMONX)		None			Sold	12/10/19	J	B	
27.	Baron Emrg Mkts Fd Retail (BEXFX)	A	Dividend	J	T	Buy (add'l)	12/10/19	J		
28.	DFA US Small Cap Val Port I (DFSVX)	A	Dividend			Sold	09/27/19	J		
29.	FULLER & THALER BEHAVIORAL SM CAP EQTY (FTHNX)	A	Dividend	J	T	Buy	09/27/19	J		
30.						Buy (add'l)	12/10/19	J		
31.	Invesco Balanced Risk Alloc Fd Cl A (ABRZX)		None			Sold	12/10/19	J	A	
32.	Van Eck Cm Commodity Indx Fd A (CMCAX)		None			Sold	07/01/19	J	A	
33.	IRA #2 (H)									
34.	iShares MSCI EAFE ETF (EFA)	A	Dividend	J	T					

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	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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35. Vanguard Index Fds Total Stock Mkt ETF (VTI)	A	Dividend	J	T					
36. BROKERAGE #1 (H)									
37. iShares MSCI EAFE ETF (EFA)	A	Dividend	K	T					
38. iShares Russell 1000 Value Index Fund (IWD)	A	Dividend	J	T					
39. iShares Russell 2000 Value Index Fund (IWN)	A	Dividend	J	T					
40. iShares S&P Mid Cap 400 Growth ETF (IJK)	A	Dividend	J	T					
41. iShares S&P Mid Cap 400 Value ETF (IJJ) (X)	A	Dividend	J	T					
42. iShares S&P Small Cap Growth ETF (IJT)	A	Dividend	J	T					
43. SPDR S&P 500 ETF Fund (SPY)	A	Dividend	J	T					
44. Vanguard Growth Index Fund (VUG)	A	Dividend	J	T					
45. Vanguard Total International Index Fund (VWO)	A	Dividend	J	T					
46. TRUST ACCT #1 (H)									
47. Fidelity Government Money Market (SPAXX) (cash equiv)	C	Interest	M	T					
48. Goldman Sachs BK CD FOA GE Capital (36161TYQ2)	B	Interest	L	T					
49. Discover BK CD (254672ZX9)	A	Interest	K	T					
50. California St Go Bds 5.5 (13063A4J0)	A	Interest			Redeemed	04/02/19	K		
51. California St Univ Rev Rev Bds Ser (13077CTA2)	B	Interest			Redeemed	05/01/19	L		

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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; P3 =$25,000,001 - $50,000,000; P4 =More than $50,000,000

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52. University Calif Revs for Previous (91412GRQ0)	B	Interest			Redeemed	05/15/19	L		
53. California St Economic Recovery (13067JKT7)	B	Interest			Redeemed	07/01/19	K		
54. Peralta Calif Cmnty College Dist Go Bds (713575QX9)	B	Interest			Redeemed	08/01/19	K		
55. California St Univ Rev Systemwide (13077DBB7)	B	Interest	K	T					
56. Los Angeles Calif Uni Sch Dist GO BDS 5.0 (5446465X6)	B	Interest	L	T	Buy	04/26/19	L		
57. Metropolitan Wtr Dist Southern CA (59266TLB5)	A	Interest	L	T					
58. Santa Monica-Malibu Uni Sch Dist Calif (802498LY9)	B	Interest	L	T					
59. San Diego Calif Cmnty College Dist (797272NY3)	A	Interest	K	T					
60. Berkley Calif Uni Sch Dist Go Ref Bds (084154VG5)	A	Interest	K	T					
61. San Francisco Calif Bay Area Rapid Tran (797661VX0)	A	Interest	L	T					
62. California ST GO BDS 2.375 (13063BS29)	A	Interest	K	T	Buy	03/13/19	K		
63. Metropolitan Wtr Dist Southern CA (59266TNC1)	A	Interest	L	T					
64. California St Dept Vet Affairs Home Pur (130658MD6)	B	Interest	K	T					
65. Torrance Calif Uni Sch Dist Go Ref BDS 3.0 (891318S71)		None	K	T	Buy	08/28/19	K		
66. California ST GO BDS 3.25 (13053B4P4)	A	Interest	K	T	Buy	09/09/19	K		
67. Los Angeles Cnty Calif Met Transn 3.0 (54466HAP1)		None	L	T	Buy	08/28/19	L		
68. Virtus Duff & Phelps Glbl Real Estate Secs I (VGISX)	C	Dividend	L	T	Sold (part)	07/19/19	K	B	

1 Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000

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69.						Sold (part)	09/10/19	J	B	
70.	iShares CORE S&P 500 ETF (IVV)	C	Dividend	L	T	Sold (part)	07/22/19	K	E	
71.	iShares S&P 500 Growth ETF (IVW)	C	Dividend	M	T	Sold (part)	09/11/19	K	E	
72.	iShares S&P 500 Value ETF (IVE)	C	Dividend	M	T	Buy (add'l)	08/23/19	K		
73.	iShares Tr EAFE Sml Cp ETF (SCZ)	A	Dividend			Sold	12/10/19	K	C	
74.	Invesco Exchange Traded Bultshs 2020 (BSCK)	B	Dividend	L	T					
75.	Invesco Exchange Traded Bultshs 2021 (BSCL)	B	Dividend	K	T					
76.	Invesco Exchange Traded Bultshs 2022 (BSJM)	A	Dividend	J	T	Buy	02/06/19	K		
77.						Sold (part)	09/11/19	J	A	
78.	Invesco Exchange Traded Bultshs 2022 CB (BSCM)	C	Dividend	L	T					
79.	Invesco Exchange Traded Bultshs 2019 (BSCJ)	B	Dividend			Sold	12/10/19	L		
80.	TRUST ACCT #2 (H)									
81.	Fidelity Government Money Market (SPAXX) (cash equiv)	B	Interest	M	T					
82.	CALIFORNIA ST GO BDS 5.5 (13063A4JO)		None			Redeemed	04/02/19	L		
83.	CALIFORNIA ST UNIV REV REV BDS SER. (13077CSM7)	A	Interest			Redeemed	05/01/19	K		
84.	PERALTA CALIF CMNTY COLLEGE DIST GO BDS (713575QX9)	B	Interest			Redeemed	08/01/19	K		
85.	California St Var Purp GO And GO REF (13063BMV1)	C	Interest			Redeemed	09/03/19	L		

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86. SAN MATEO CALIF UN HIGH SCH DIST GO REF (799017MZ8)	B	Interest			Redeemed	09/03/19	K		
87. CALIFORNIA ST PUB WKS BRD LEASE REV (130685YG9)	A	Interest			Buy	04/29/19	K		
88.					Redeemed	11/01/19	K		
89. CALIFORNIA ST TAX EXEMPT VARIOUS PURP (13063C4G2)	B	Interest	L	T					
90. CALIFORNIA ST GO BDS 5.0 (13063CLS7)	C	Interest	K	T	Buy	01/09/19	K		
91. CALIFORNIA ST GO BDS 2.25 (13063CGK0)	A	Interest	K	T					
92. SAN DIEGO CALIF CMNTY COLLEGE DIST (797272NY3)	A	Interest	K	T					
93. CALIFORNIA ST GO BDS SER. 2016 (13063CZN3)	B	Interest	L	T					
94. BERKELEY CALIF UNI SCH DIST GO REF BDS (084154VG5)	B	Interest	L	T					
95. SAN FRANCISCO CALIF BAY AREA RAPID TRAN (797661VX0)	A	Interest	L	T					
96. CALIFORNIA ST GO BDS 4.0 (13063CMM9)	A	Interest	K	T	Buy	05/09/19	K		
97. UNIVERSITY CALIF REVS REV BDS SER. (91412G6M2)	A	Interest	K	T					
98. SAN FRANCISCO CALIF CITY &CNT Y GO BDS (797646SS6)	B	Interest	L	T					
99. BERKELEY CALIF UNI SCH DIST GO REF BDS (084154WQ2)	A	Interest	K	T					
100. East Bay Calif Regl Pk Dist Prom NTS (271015MD8)	A	Interest	J	T	Buy	02/14/19	J		
101. East Side UN High School Dist Calif Santa Clara Cnty (275282HR5)		None	K	T	Buy	08/09/19	K		
102. CALIFORNIA ST GO BDS 3.0 (13063B4M1)	A	Interest	K	T	Buy	05/14/19	K		

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)
103. San Francisco Calif City & Cnty Uni Sch 3.0 (79771TKZ9)	A	Interest	K	T	Buy	08/14/19	K		
104. Franklin K2 Alt Strat (FABZX)	B	Dividend	M	T					
105. Goldman Sachs Emerg Mkts Eq. (GEMIX)	A	Dividend	L	T					
106. iShares Core S&P 500 ETF (IVV)	C	Dividend	M	T					
107. ISHARES TR EAFE SML CP ETF (SCZ)	B	Dividend	K	T					
108. Vanguard FTSE Developed Mkt ETF (VEA)	D	Dividend	N	T	Buy (add'l)	01/31/19	K		
109. VANGUARD INDEX TR VANGUARD EXTENDED (VXF)	C	Dividend	N	T	Buy (add'l)	01/31/19	J		
110. INVESCO EXCHANGE TRADED BULETSH 20 (BSJK)	B	Interest	L	T					
111. INVESCO EXCHANGE TRADED BULETSH 19 (BSJJ)	A	Interest			Matured	12/16/19	K	B	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Birotte, Jr., Andre	08/10/2020

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.

Name of Person Reporting	Date of Report
Birotte, Jr., Andre	08/10/2020

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/ Andre Birotte, Jr.

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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