

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) Stormes, Nita L.	2. Court or Organization Southern District of Cal.	3. Date of Report 04/19/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Mag. Judge - Part-time	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 U.S. Courthouse 333 West Broadway San Diego, CA 92101-8910		
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	Personal Trust (Assets are listed in Part VII in rows 27-96.)
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

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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.		
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	Jones Day (Spouse's Law Firm)
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
Stormes, Nita L.	04/19/2020

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.		

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Name of Person Reporting

Stormes, Nita L.

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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. Chase Bank Account - 1	A	Interest	K	T	Buy	11/29/19	J		
2. Vanguard 500 Index Fund - 3	A	Dividend	L	T					
3. Fidelity Magellan Fund (Fidelity Ultra) - 1	A	Dividend	K	T					
4. Janus Mercury Fund (now Janus Research Fund) - 3	A	Dividend	K	T					
5. Janus Worldwide Fund (now Global Research Fund)- 3	A	Dividend	J	T					
6. Fidelity Puritan Fund - 3	A	Dividend	K	T					
7. Franklin Mutual Quest Fund - Z - 1	A	Dividend	K	T					
8. Oakmark Fund - 3	A	Dividend	K	T					
9. Scudder International Fund (now Deutsche CROCI International Fund) - 3	A	Dividend	J	T					
10. Vanguard Index Fund (Fidelity Ultra) - 1	A	Dividend	K	T					
11. Fidelity CA Muni Money Market (Fidelity Ultra) - 1	A	Interest	J	T					
12. Federated Kaufman Fund R - 3	A	Dividend	K	T					
13. California Bank & Trust - 1 Checking	A	Interest	J	T					
14. Vanguard CA Money Market Fund - 1	A	Interest	O	T					
15. Vanguard 500 Index Fund - 1	A	Dividend	N	T	Buy	11/18/19	N		
16. E*Trade Tax-Exempt Cal. Fund - 1	A	Interest	J	T					
17. San Diego County Credit Union Checking - 1	A	Interest	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	

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☐ 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. San Diego County Credit Union Savings - 1	A	Interest	J	T					
19. Apple - 1	A	Dividend	L	T					
20. New Energy Technologies Inc (now SolarWindow Technologies) - 1	A	Dividend	J	T					
21. Tesla Motors Inc - 1	A	Dividend	K	T					
22. GNMA Fund Admiral Shares - 3 IRA	A	Int./Div.	N	T					
23. Wellington Fund Admiral - 3 IRA	A	Int./Div.	P1	T					
24. 500 Index Fund Adm - 3 IRA	A	Int./Div.	P1	T					
25. Vanguard Federal Money Market Fund - 3 IRA	A	Interest	P1	T					
26. Jones Day 2020 Fund - 3 401	A	Int./Div.	N	T					
27. UBS Bank - 2T	A	Interest	J	T					
28. Angel Oak Multi Strategy Inc. Fund Class C - 2T	A	Dividend	L	T					
29. Oppenheimer Senior Floating Rate Fund Class C - 2T	A	Dividend	L	T					
30. Accenture PLC - 2T	A	Dividend	J	T					
31. Amer. Electric Power Co.	A	Dividend	J	T	Buy	11/14/19	J		
32. Apple Inc. - 2T	A	Dividend	M	T					
33. Blackrock Inc. - 2T	A	Dividend	J	T					
34. Chevron Corp. - 2T	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	

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☐ 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				
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	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. Chubb Ltd - 2T	A	Dividend	J	T					
36. Coca Cola Co Com - 2T	A	Dividend	J	T					
37. Comcast Corp New - 2T	A	Dividend	J	T					
38. Crane Co - 2T	A	Dividend	J	T					
39. Diageo PLC - 2T	A	Dividend	J	T					
40. Home Depot Inc - 2T	A	Dividend	J	T					
41. Intel - 2T	A	Dividend	K	T					
42. Johnson & Johnson Com - 2T	A	Dividend	J	T					
43. JPMorgan Chase & Co - 2T	A	Dividend	J	T					
44. Invesco LTD - 2T	A	Dividend			Sold	01/01/19	J	A	
45. Linde PLC - 2T	A	Dividend	J	T					
46. Lockheed Martin Corp - 2T	A	Dividend	J	T					
47. Marsh & McLennan Cos Inc - 2T	A	Dividend	J	T					
48. McDonalds Corp - 2T	A	Dividend	J	T					
49. Medtronic - 2T	A	Dividend	J	T					
50. Microsoft Corp. - 2T	A	Dividend	K	T					
51. Nextera Energy - 2T	A	Dividend	J	T					

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(See Columns C1 and D3)	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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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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52. Novartis - 2T	A	Dividend	J	T					
53. Proctor & Gamble Co. - 2T	A	Dividend	J	T	Buy	11/14/19	J		
54. Qualcomm - 2T	A	Dividend	K	T					
55. Republic Services Inc. - 2T	A	Dividend	J	T					
56. Rockwell Automatic Inc - 2T	A	Dividend	J	T					
57. Suncor Energy Inc. - 2T	A	Dividend	J	T					
58. Suntrust Banks Inc. - 2T	A	Dividend			Sold	12/01/19	J		
59. Texas Instruments 2T	A	Dividend	K	T					
60. Truist Finl Corp - 2T	A	Dividend	J	T	Buy	01/01/19	J		
61. Union Pacific Corp. - 2T	A	Dividend	J	T					
62. UNTD Technologies Corp - 2T	A	Dividend	J	T					
63. VF Corp - 2T	A	Dividend	J	T					
64. Invesco S&P 500 Equal Weight - 2T	A	Dividend			Sold	09/18/19	L		
65. Ishares Core S&P Small-Cap - 2T	A	Dividend	L	T					
66. Ishares Core MSCI - 2T	A	Dividend	K	T					
67. SPDR S&P 500 ETF - 2T	A	Dividend	L	T					
68. Vanguard S&P 500 ETF - 2T	A	Dividend	M	T					

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69. Janus Henderson Small Cap - 2T	A	Dividend	K	T					
70. JP Morgan Large Cap Growth Fund - 2T	A	Dividend	K	T	Buy	08/10/19	K		
71. MFS Value Fund Class 1 - 2T	A	Dividend	K	T	Buy	08/01/19	K		
72. Natixis Oakmark International Fund - 2T	A	Dividend	K	T					
73. Principal Sm-MD CP Div - 2T	A	Dividend	L	T					
74. California St Pub Wks - 2T	A	Interest	K	T					
75. California General Obligation Bond - 2T	A	Interest	K	T					
76. California St Pub Wks - 2T	A	Interest	K	T					
77. California St Pub Wks - 2T	A	Interest	K	T					
78. California St Pub Wks - 2T	A	Interest	K	T					
79. Southern CA Pub Pwr - 2T	A	Interest	K	T					
80. Cajon Valley CA Un Sc - 2T	A	Interest	K	T					
81. California St Pub Wks - 2T	A	Interest	K	T					
82. California General Obligation Bond - 2T	A	Interest	K	T					
83. Turlock CA Irr Dist - 2T	A	Interest	K	T					
84. California St Pub Wks - 2T	A	Interest	K	T	Buy	09/25/19	K		
85. California ST Pub Wks - 2T	A	Interest	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
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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.)

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	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)
86. California General Obligation Bond - 2T	A	Interest	K	T					
87. Rio CA Elem Sch - 2T	A	Interest	K	T					
88. Del Norte Cnty CA Uni Sc Build - 2T	A	Interest	K	T	Buy	09/25/19	K		
89. Standard CA SCH - 2T	A	Interest	K	T					
90. California St Var Purp - 2T	A	Interest	K	T	Buy	09/25/19	K		
91. Univ CA SR - 2T	A	Interest	K	T	Buy	09/25/19	K		
92. Southern CA Pub Pwr - 2T	A	Interest	K	T					
93. California St For Previo - 2T	A	Interest	K	T	Buy	09/25/19	K		
94. Imperial CA Irr Dist - 2T	A	Interest	K	T					
95. Pioneer Strategic Income Fund - 2T	A	Interest			Sold	01/01/19	K		
96. US Treasury Bill - 2T	A	Interest	M	T	Buy	07/10/19	M		

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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Stormes, Nita L.	04/19/2020

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

Part I. Positions - All assets in the Personal Trust are listed in Part VII in rows 27-96.

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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/ **Nita L. Stormes**

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