

AJS-18
Rev. 1/89

FINANCIAL DISCLOSURE REPORT

 Annual Report Due by May 15 from Judicial Officers and
certain Judicial Employees (28 USC App. I, §§ 301-307)

Person Reporting (Last name, first, middle initial) SHUBB, WILLIAM B.	Court or Organization U.S. District Court for the Eastern District of California	Date of Report 8/6/90
Title U.S. District Judge	Date of Entry/Nomination/Termination (only if initial or final report) 8/3/90	Reporting Period (Calendar year, or inclusive dates) 1/1/89 to 8/6/90
Home or office address 300 Capitol Mall, Suite 1700 Sacramento, CA 95814		
IMPORTANT NOTES: Please read the instructions accompanying this form. The report should include information pertaining to your spouse and dependent children, if any. Attach additional sheets if needed, identifying each attachment by showing your name, the date of the report, and the section(s) being completed. Complete all sections, checking the NONE box for each section where you have no reportable information. Compare and reconcile this report with last year's and list items in the same order as last year. Type or print clearly. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 15-17 of Instructions.)

POSITION
NAME OF ORGANIZATION/ENTITY
☐ **NONE** (No reportable positions)

 Partner Diepenbrock, Wulff, Plant & Hannegan
II. AGREEMENTS. (Reporting individual only; see p. 17 of Instructions.)

DATE
PARTIES AND TERMS
☐ **NONE** (No reportable agreements)

 1/1/89-present Diepenbrock, Wulff, Plant & Hannegan; law partnership

 1/1/89-present Diepenbrock, Wulff, Plant & Hannegan Retirement Savings Plan
(RR-10)

III. NON-INVESTMENT INCOME. (Partial disclosure for spouse; see pp. 18-20 of Instructions.)

DATE
(Honoraria only)

SOURCE AND TYPE
GROSS INCOME
(Yours, not spouse's)

☐ **NONE** (No reportable non-investment income)

 1 Diepenbrock, Wulff, Plant & Hannegan; law practice 303,756

2 _____ \$ _____

3 _____ \$ _____

4 _____ \$ _____

5 _____ \$ _____

FINANCIAL DISCLOSURE REPORT (cont'd)	Name of Person Reporting SHUBB, WILLIAM B.	Date of Report 8/6/90
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IV. REIMBURSEMENTS and GIFTS--transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 20-22 of Instructions.)

<u>SOURCE</u>	<u>DESCRIPTION</u>
☒ NONE (No such reportable reimbursements or gifts)	
1	
2	
3	
4	
5	
6	
7	
8	

V. OTHER GIFTS. (Includes those to spouse and dependent children; see pp. 20-22 of Instructions.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
☒ NONE (No such reportable gifts)		
1		
2		\$
3		\$
4		\$
5		\$
6		\$
7		\$
8		\$

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 22-24 of Instructions.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
☒ NONE (No reportable liabilities)		
1		
2		
3		
4		
5		
6		
7		
8		

* VALUE CODES:	J = \$0 to \$1,000	K = \$1,001 to \$5,000	L = \$5,001 to \$15,000	M = \$15,001 to \$50,000
	N = \$50,001 to \$100,000	O = \$100,001 to \$250,000	P = over \$250,000	

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting
SHUBB, WILLIAM B.Date of Report
8/6/90**VII. INVESTMENTS and TRUSTS—Income, value, transactions.** (Includes those of spouse; partial disclosure for dependent children; see pp. 24-25 of instructions.)

A. Description of Assets (including trust assets) Place "X" after each asset except from prior disclosure.	B. Income during period		C. Open value at end of period		D. Transactions during period (Reporting individual and spouse)				
	Asset Code (A-H)	Type (e.g., div.)	Value Code* (I-P)	Value Method Code* (Q-W)	Type (e.g., sold)	Date: Month- Day	Value Code* (I-P)	Gain Code* (A-H)	Identify of beneficiary (If primary transaction)
☐ NONE (No reportable income, assets, or transactions)									
<u>1 BANK ACCOUNTS</u>									
<u>2 Bank of America (Checking)</u>	B	Int	L	T					
<u>3 Bank of America (Savings)</u>	B	Int	L	T					
<u>4 1st Federal Credit Union</u>	A	Int	J	T					
<u>5 ANNUITIES</u>									
<u>6 North American Security Life</u>	C	Int	L	T					
<u>7 First Capitol VIP</u>	D	Int	M	T					
<u>8 LIMITED PARTNERSHIPS</u>									
<u>9 Westin Hotels (\$5,000 - 8/8/86)</u>	B	Income	K	U					
<u>10 U.S. Windpower</u>	A	Income	K	W					
<u>11 SCA Tax Exempt</u>	D	Income	M	T					
<u>12 Red Lion (\$10,000 - 4/7/87)</u>	C	Income	L	U					
<u>13 Century Hillcrest (\$10,000 - 9/29/88)</u>	C	Income	L	U					
<u>14 MUTUAL FUNDS</u>									
<u>15 Franklin Calif. Tax Free</u>	B	Div	K	T					
<u>16 Shearson Calif. Tax Free</u>	B	Div	M	T					
<u>17 Shearson Calif. Tax Free</u>	B	Div	J	T					
<u>18 CERTIFICATES OF DEPOSIT</u>									
<u>19 First Deposit National Bank</u>	C	Int	J	T					
<u>20</u>									
1 Income/Gain Codes: A = exempt (\$0 to \$100) B = \$101 to \$1,000 C = \$1,001 to \$2,500 D = \$2,501 to \$5,000 E = \$5,001 to \$15,000 F = \$15,001 to \$50,000 G = \$50,001 to \$100,000 H = over \$100,000 2 Value Codes: J = exempt (\$0 to \$1,000) K = \$1,001 to \$5,000 L = \$5,001 to \$15,000 M = \$15,001 to \$50,000 N = \$50,001 to \$100,000 O = \$100,001 to \$250,000 P = over \$250,000 3 Value Method Codes: Q = Appraisal R = Cost (real estate only) S = Assessed value T = Cash/market U = Book value V = Other W = Estimated									

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

SHUBB, WILLIAM B.

Date of Report

8/6/90

VII. INVESTMENTS and TRUSTS—Income, value, transactions. (Includes those of spouse; partial disclosure for dependent children; see pp. 24-35 of instructions.)

A Description of Assets (including trust assets) Place "XX" after each asset exempt from prior disclosure.	B Income during period		C Gross values at end of period		D Transactions during period (Reporting individual and spouse)			
	Inst. Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month- Day	Value Code ² (J-P)	Quantity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)								
<u>COMMON STOCK</u>								
² Washington Energy	B	Div	L	T				
<u>STOCK OPTIONS</u>								
⁴ Bramont June 45 calls	B	Cap. Gain	J	T				
⁵ Johnson & Johnson July 60 calls	B	Cap. Gain	J	T				
⁶ MMM July 85 calls	B	Cap. Gain	J	T				
<u>MUNICIPAL BONDS</u>								
⁸ LA Convention Center 08/12/97	A	Int	M	T				
⁹ LA Convention Center 08/12/98	A	Int	L	T				
¹⁰ LA Convention Center 08/12/99	A	Int	L	T				
¹¹ S.F. RDA Moscone Center 08/7/00	A	Int	M	T				
¹² S.F. RDA Moscone Center 08/7/01	A	Int	M	T				
¹³ IRA I								
<u>COMMON STOCK</u>								
¹⁵ Utilicorp	B	C:Gain/Div	J	T				
¹⁶ Washington Energy	A	Div	K	T				
<u>MUTUAL FUNDS</u>								
¹⁸ Shearson Daily Dividend	A	Div	J	T				
¹⁹								
²⁰								

¹ Income/Gain Codes:	A = exempt (30 to \$100) E = \$5,001 to \$15,000 J = exempt (30 to \$1,000) N = \$50,001 to \$100,000 Q = Appraisal U = Book value	B = \$101 to \$1,000 F = \$15,001 to \$50,000 K = \$1,001 to \$5,000 O = \$150,001 to \$250,000 R = Cost (real estate only) V = Other	C = \$1,001 to \$2,500 G = \$50,001 to \$100,000 L = \$5,001 to \$15,000 P = over \$250,000 S = Assumed value W = Estimated	D = \$2,501 to \$5,000 H = over \$100,000 M = \$15,001 to \$50,000 T = Cash/market
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FINANCIAL DISCLOSURE REPORT (cont'd)	Name of Person Reporting	Date of Report
	SHUBB, WILLIAM B.	8/6/90

VII. INVESTMENTS and TRUSTS—Income, value, transactions. (Includes those of spouse; partial disclosure for dependent children; see pp. 24-35 of instructions.)

A Description of Asset (Including trust assets) Place "XY" after each asset except from prior disclosure.	B Include during period		C Gross value at end of period		D Transactions during period (Reporting individual and spouse)					
	Asset Code (A-H)	Type (e.g., div.)	Value Code (J-P)	Value Method Code (Q-W)	Type (e.g., sold)	Date Month-Day	Value Code (J-P)	Gain Code (A-H)	Not exempt from disclosure Identify of taxpayer (if exempt transaction)	
☐ NONE (No reportable income, assets, or transactions)										
¹ <u>IRA II</u>										
² <u>MONEY MARKET</u>										
³ Liquid Asset Fund	B	Int	J	T						
⁴ <u>COMMON STOCK</u>										
⁵ Public Storage #17	A	Div	K	T						
⁶ <u>BONDS</u>										
⁷ Zero Coupon Bond 8/15/91	A	Int	K	T						
⁸ Zero Coupon Bond 11/15/96	A	Int	L	T						
⁹ <u>IRA (Joint)</u>										
¹⁰ <u>MONEY MARKET</u>										
¹¹ Liquid Asset Fund	D	Int	M	T						
¹² <u>IRA (Wife)</u>										
¹³ <u>MONEY MARKET</u>										
¹⁴ Liquid Asset Fund	A	Int	J	T						
¹⁵ <u>COMMON STOCK</u>										
¹⁶ Pacific Enterprises	B	Div	J	T						
¹⁷ <u>BONDS</u>										
¹⁸ Zero Coupon Bond 8/15/91	A	Int	L	T						
¹⁹										
²⁰										

1 Income/Gain Codes:	A = exempt (\$0 to \$100) E = \$5,001 to \$15,000 J = exempt (\$0 to \$1,000) N = \$50,001 to \$100,000 Q = Appraisal U = Book value	B = \$101 to \$1,000 F = \$15,001 to \$50,000 I = \$1,001 to \$5,000 O = \$100,001 to \$250,000 S = Cost (real estate only) V = Other	C = \$1,001 to \$2,500 G = \$50,001 to \$100,000 L = \$5,001 to \$15,000 P = over \$250,000 W = Estimated	D = \$2,501 to \$5,000 H = over \$100,000 M = \$15,001 to \$50,000 T = Cash/notes
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FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

SHUBB, WILLIAM B.

Date of Report

8/6/90

VII. INVESTMENTS and TRUSTS—Income, value, transactions. (Includes those of spouse; partial disclosure for dependent children; see pp. 24-35 of instructions.)

A Description of Assets (Including trust assets) Place "X" after each asset except from prior disclosure.	B Increase during period		C Gross value at end of period		D Transactions during period (Reporting individual and spouse)				
	Asset Code (A-H)	Type (e.g., div.)	Value Code ¹ (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month- Day	Value: Code ² (I-P)	Date: Code ³ (A-H)	Identity of buyer/seller (If private transaction)
☐ NONE (No reportable income, assets, or transactions)									
¹ HR-10									
² MONEY MARKET									
³ Liquid Asset Fund	B	Int	K	T					
⁴ MUTUAL FUNDS									
⁵ Dividend Growth Fund	D	Div/ C.Gain	N	T					
⁶ Natural Resource Fund	B	Div/ C.Gain	L	T					
⁷ U.S. Gov. Security Fund	D	Int	M	T					
⁸ COMMON STOCK									
⁹ Public Storage #17	B	Div	K	T					
¹⁰ American Tel & Tel	B	Div	K	T					
¹¹ Bristol Myers & Squibb	A	Div	L	T					
¹² Chevron	B	Div	L	T					
¹³ Citicorp	B	Div	K	T					
¹⁴ Walt Disney	A	Div	L	T					
¹⁵ Ford Motor	B	Div	L	T					
¹⁶ General Electric	B	Div	L	T					
¹⁷ IBM	B	Div	L	T					
¹⁸ Nordstrom's	A	Div	L	T					
¹⁹ Pacific Enterprises	B	Div	K	T					
²⁰ Pacific Telesis	B	Div	L	T					

1 Income/Value Codes:	A = exempt (\$0 to \$100) E = \$5,001 to \$15,000 J = exempt (\$0 to \$1,000) N = \$50,001 to \$100,000 Q = Appraisal U = Book value	B = \$101 to \$1,000 F = \$15,001 to \$50,000 K = \$1,001 to \$5,000 O = \$100,001 to \$250,000 R = Cost (real estate only) V = Other	C = \$1,001 to \$2,500 G = \$50,001 to \$100,000 L = \$5,001 to \$15,000 P = over \$250,000 S = Assessed value W = Estimated	D = \$2,501 to \$5,000 H = over \$100,000 M = \$15,001 to \$50,000 T = Cash/market
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FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

SHUBB, WILLIAM B.

Date of Report

8/6/90

VII. INVESTMENTS and TRUSTS—Income, value, transactions. (Includes those of spouse; partial disclosure for dependent children; see pp. 24-35 of instructions.)

A. Description of Assets (including trust assets) Place "X" after each asset except from prior disclosure.	B. Income during period		C. Gross value at end of period		D. Transactions during period (Reporting individual and spouse)			
	Asset Code ¹ (A-H)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	If not exempt from disclosure		
						Date: Month- Day	Date ¹ (J-P)	Amount of beginning (if private transaction)
☐ NONE (No reportable income, assets, or transactions)								
1 Sierra Pacific Resources	C	Div	L	T				
2 BONDS								
3 Zero Coupon Bond 2/15/92	A	Int	M	T				
4 Zero Coupon Bond 11/15/93	A	Int	M	T				
5 Zero Coupon Bond 11/15/94	A	Int	M	T				
6 Zero Coupon Bond 11/15/95	A	Int	M	T				
7 Zero Coupon Bond 11/15/96	A	Int	M	T				
8 GNMA I	D	Int	L	T				
9 GNMA E	B	Int	K	T				
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								

1 Income/Gain Code:	A = exempt (\$0 to \$100) E = \$5,001 to \$15,000	B = \$101 to \$1,000 F = \$15,001 to \$50,000	C = \$1,001 to \$2,500 G = \$25,001 to \$100,000	D = \$2,501 to \$5,000 H = over \$100,000
2 Value Codes:	J = exempt (\$0 to \$1,000) N = \$50,001 to \$100,000	K = \$1,001 to \$5,000 O = \$100,001 to \$250,000	L = \$5,001 to \$15,000 P = over \$250,000	M = \$15,001 to \$50,000
3 Value Method Code:	Q = Appraisal U = Book value	R = Cost (real estate only) V = Other	S = Assumed value W = Estimated	T = Cash/market

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

Date of Report

SHUBB, WILLIAM B.

8/6/90

VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate section of Report.)

☒ X

Check to affirm that differences in investments from those reported in prior year are exempt from disclosure.

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.

Signature

William B. Shubb

Date

8/4/90

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (28 U.S.C. APP. I, § 304, AND 28 U.S.C. § 1001.)

FILING INSTRUCTIONS:

1. Mail signed original and 3 additional copies to:
 Judicial Ethics Committee
 Administrative Office of the
 United States Courts
 Washington, DC 20544
2. Deliver one copy to the Clerk of the Court on which you sit or serve. (Judicial employees not associated with a specific court, such as employees of the Administrative Office and the Federal Judicial Center, need not file a copy with any court.)

FINANCIAL STATEMENT
NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	76,075	Notes payable to banks—secured	0
U.S. Government securities—odd schedule	156,260	Notes payable to banks—unsecured	0
Listed securities—odd schedule	205,170	Notes payable to relatives	0
Unlisted securities—odd schedule	195,837	Notes payable to others	0
Accounts and notes receivable:		Accounts and bills due	0
Due from relatives and friends	0	Unpaid income tax	0
Due from others	0	Other unpaid tax and interest	0
Doubtful	0	Real estate mortgages payable—odd schedule	24,719
Real estate owned—odd schedule	207,000	Chattel mortgages and other liens payable	0
Real estate mortgages receivable	0	Other debts—itemize:	0
Autos and other personal property	135,382		
Cash value—life insurance	16,514		
Other assets—Itemize:			
		Total liabilities	24,719
		Net worth	967,519
		Total liabilities and net worth	992,238
Total assets	992,238		
CONTINGENT LIABILITIES	NONE	GENERAL INFORMATION	
As endorser, cosigner or guarantor		Are any assets pledged? (Add schedule.)	NO
On leases or contracts		Are you defendant in any suits or legal actions?	NO
Legal Claims		Have you ever taken bankruptcy?	NO
Provision for Federal Income Tax			
Other special debt			

As on May 1990. Does not include liabilities of Dispenbrock, Wulff, Plant & Hennegan, for which I am personally liable as a partner, nor assets of Dispenbrock, Wulff, Plant & Hennegan, in which I share an interest as a partner.