

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) Oberto, Sheila K.	2. Court or Organization U.S. District Court - Eastern District of California	3. Date of Report 02/26/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 2500 Tulare Street Suite 1501 Fresno, CA 93721		
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.	
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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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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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.	Wells Fargo	Personal Loan	N
2.			
3.			
4.			
5.			

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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)
1. Rental Property #1 in Ventura, CA	F	Rent	P1	W					
2. Rental Property in Santa Monica,, CA	E	Rent	O	W					
3. Chase Bank Accounts	C	Interest	O	T					
4. WestAmerica Bank Accounts	A	Interest	J	T					
5. Bank of America Accounts	A	Interest	N	T					
6. UBS Money Market Account	C	Int./Div.			Closed	12/20/19	M		
7. Morgan Stanley Bank	A	Interest	M	T	Open	12/20/19	M		
8. PACE Multi Advisor									
9. -- Davis Real Estate Fund (REIT)	B	Dividend			Sold	01/31/19	K	C	
10. --Virtus Multi-Sector (Short Term Bond)	B	Dividend	K	T					
11. --Nuveen Tradewinds (Large Cap Int'l)	B	Dividend	K	T					
12. --TCW Galileo Div Focused (Large Cap Value)	B	Dividend			Sold	01/31/19	K		
13. --JP Morgan (Mid Cap Value)	B	Dividend			Sold	01/31/19	K	C	
14. --American Funds (Large Cap Growth)	C	Dividend			Sold	01/31/19	K	C	
15. --RS Partners (Small Cap Core)	A	Dividend			Sold	01/31/19	K	C	
16. --Columbia CA Tax Exempt (Investment Grade Muni)	B	Dividend	K	T					
17. --Invesco Small Cap Value (Short Cap Value)	E	Dividend	M	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) 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)
18. --Pimco Real Return (Long Term Investment Grade)	A	Dividend	J	T					
19. --Pimco Total Return (Intermediate Investment Grade Bond)	B	Dividend	J	T					
20. --Blackrock Equity (Large Cap Value)	D	Dividend	M	T					
21. --Blackrock Global (Balanced)	C	Dividend	L	T					
22. --Blackrock Muni (Investment Grade Muni)	A	Dividend	J	T					
23. Clearbridge Int'l Value	A	Dividend	L	T	Buy	02/20/19	L		
24. Goldman Sachs (Mid Cap Value)	E	Dividend	M	T					
25. --Nuveen CA Muni Bond (Investment Grade Bond)	B	Dividend	K	T					
26. Brokerage Account #2									
27. -- Bank of America Stock	B	Dividend			Sold	01/31/19	J	B	
28. -- Invesco S & P 500 (MSDW)	E	Dividend			Sold	01/31/19	J	B	
29. -- Nuveen NWQ Multi Cap	A	Dividend			Sold	01/31/19	J	B	
30. Alphabet Inc CL A Stock	A	Dividend	L	T					
31. Alibaba Stock	A	Dividend	K	T	Buy (add'l)	08/05/19	J		
32. Amazon.com Inc Stock	A	Dividend	M	T	Buy (add'l)	08/05/19	J		
33. Apple Inc. Stock	A	Dividend	L	T	Buy (add'l)	02/14/19	J		
34.					Buy (add'l)	05/16/19	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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35.					Buy (add'l)	08/05/19	J		
36.					Buy (add'l)	08/15/19	J		
37. Berkshire Hathaway	A	Dividend	J	T					
38. Boeing Compnay	A	Dividend	J	T	Buy (add'l)	08/14/19	J		
39. Bristol Meyers Stock	A	Dividend	J	T					
40. BP Stock	A	Dividend	J	T					
41. Colgate Palmolive Stock	A	Dividend	J	T					
42. Comcast Corp New CL A Stock	A	Dividend	J	T					
43. Costco Wholesale Corp Stock	A	Dividend	J	T					
44. Corteva, Inc.	A	Dividend	J	T	Buy	04/24/19	J		
45. CVS Health Stock	A	Dividend	J	T	Buy (add'l)	04/24/19	J		
46. Danaher Corp. Stock	A	Dividend	J	T					
47. Dow Chemical Stock	A	Dividend	J	T	Buy (add'l)	04/11/19	J		
48. Dupont, Inc.	A	Dividend	J	T	Buy	04/11/19	J		
49. Eaton Corp. Stock	A	Dividend	J	T					
50. Exxon Mobil Corp Stock	A	Dividend	J	T					
51. Facebook Inc. CL A Stock	A	Dividend	K	T					

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3 Value Method Codes (See Column C2)					

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52. Fedex Corp Stock	A	Dividend	J	T					
53. Garrett Motion Inc Stock (X)	A	Dividend	J	T					
54. Genl Elecrtic Co Stock	A	Dividend	J	T	Buy (add'l)	04/24/19	J		
55. Home Depot Inc	A	Dividend	J	T					
56. Honeywell Intl Inc Stock	A	Dividend	J	T					
57. Huntington Ingalls Inds Inc	A	Dividend	J	T					
58. Ingersoll-Rand PLC	A	Dividend	J	T					
59. IBM Corp.	A	Dividend	J	T	Buy	04/24/19	J		
60. Johnson & Johnson	A	Dividend	J	T					
61. JP Morgan Chase & Co	A	Dividend	J	T					
62. Koninklijke Philips NV SPON ADR Stock	A	Dividend	J	T					
63. Lockheed Martin Corp. Stock	A	Dividend	J	T					
64. Mattel Inc. Stock	A	Dividend	J	T					
65. Microsoft Corp Stock	A	Dividend	L	T					
66. Netflix Inc	A	Dividend	J	T					
67. Nike Inc. CL B Stock	A	Dividend	J	T					
68. Northrop Grumman Corp Stock	A	Dividend	J	T					

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69. Nvidia Corp Stock	A	Dividend	J	T					
70. Oracle Corp. Stock	A	Dividend	J	T					
71. Pfizer Inc Stock	A	Dividend	J	T	Buy (add'l)	03/01/19	J		
72.					Buy (add'l)	06/07/19	J		
73.					Buy (add'l)	09/03/19	J		
74.					Buy (add'l)	12/02/19	J		
75. Qulacomm	A	Dividend	J	T	Buy	04/24/19	J		
76. Raytheon Co. Stock	A	Dividend	J	T					
77. Resideo Technologies	A	Dividend	J	T					
78. Rockwell Automation, Inc.	A	Dividend	J	T	Buy	04/24/19	J		
79. Schlumberger Ltd. Stock	A	Dividend	J	T					
80. Siemens Stock	A	Dividend	J	T					
81. Take-Two Interactive Stock	A	Dividend	J	T					
82. Texas Instruments	A	Dividend	J	T	Buy	04/24/19	J		
83. Thermo Fisher Stock	A	Dividend	J	T					
84. Unilever Stock	A	Dividend	J	T					
85. United Health Group/United Tech stock	A	Dividend	J	T					

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86. Visa Inc. Stock	A	Dividend	J	T					
87. Voda Fone Stock	A	Dividend	J	T					
88. WATBEC Corp	A	Dividend	J	T	Buy	02/26/19	J		
89. Walt Disney Co. Stock	A	Dividend	J	T	Buy (add'l)	08/14/19	J		
90. 3M Co. Stock	A	Dividend	J	T					
91. United Technologies Corp Stock	A	Dividend	J	T					
92. Legg Mason Global Asset Managment-- Clearbridge Int'l Value Fund CL A	A	Dividend	L	T					

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

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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/ **Sheila K. Oberto**

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