

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Shubb, William B.	2. Court or Organization U. S. District Court	3. Date of Report 04/27/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U. S. District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 501 I Street Suite 14-210 Sacramento, CA 95814		
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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Name of Person Reporting

Shubb, William B.

Date of Report

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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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Shubb, William B.	04/27/2021

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.		

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. (H) BANK ACCOUNTS									
2. Bank America Accounts	A	Interest	M	T					
3. 1st Community Credit Union	A	Interest	J	T					
4.									
5. (H) ANNUITIES									
6. American Skandia - BlackRock-Loomis Bond, fmrlly PIMCO Total Return		None	K	T					
7. American Skandia - T Rowe Price Large Cap Fund		None	L	T					
8. American Skandia - Cohen & Steers Realty Fnd		None	K	T					
9. American Skandia - Western Asset Bond fmrlly Lord Abbett Core Bond		None	K	T					
10. American Skandia - Profund Large Cap		None	L	T					
11.									
12. Venture Annuity - US Equity Fund		None	K	T					
13.									
14. (H) RAYMOND JAMES IRA - B									
15. RJ Bank Dep.	A	Dividend	J	T					
16. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
17.									

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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Name of Person Reporting

Shubb, William B.

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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)
18. (H) RAYMOND JAMES - Trust - A826									
19. RJ Bank Dep. Program	A	Dividend	J	T					
20. MMA Capital Holdings		None	J	T					
21. Invesco Interm Muni Fnd	A	Dividend	K	T					
22. Invesco Oppenheimer Rochester CA Muni Fund "C"	D	Dividend	M	T					
23. Invesco Equity & Income Fund "C"	A	Distribution	L	T					
24. Invesco Equity & Income Fund "A"	B	Dividend	L	T					
25. Franklin Income Fund "A1"	C	Dividend	L	T					
26. Franklin Income Fund "A"	B	Dividend	K	T					
27. Franklin Income Fund "C"	A	Dividend	K	T					
28. PGIM QMA Stock Index Fund "C"	C	Dividend	N	T	Buy (add'l)	12/14/20	L		
29. Putnam Focused Equity Fund "C"	A	Dividend	L	T					
30.									
31. (H) WF ADVISORS-IRA- B -1290									
32. Standard Bank Deposit	A	Dividend	J	T	Buy (add'l)	12/14/20	J		
33. Invesco Equally Weighted S&P 500 Fund	B	Dividend	L	T					
34. New Perspective Fund	A	Dividend	K	T					

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

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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)
35.									
36. (H) WF ADVISORS -Trust - 1211									
37. Standard Bank Deposit	A	Dividend	J	T	Sold (part)	12/11/20	J		
38. Boeing		None	L	T					
39. Chevron	B	Dividend	K	T	Sold (part)	12/11/20	J	C	
40. Coca Cola	B	Dividend	K	T					
41. Intel	A	Dividend	K	T					
42. iShares NASDAQ Biotechnolgy ETF	A	Dividend	K	T	Buy	12/11/20	K		
43. Proctor & Gamble	B	Dividend	L	T					
44. Investment Company of America	D	Dividend	O	T					
45. New Perspective Fund	A	Dividend	O	T					
46.									
47. (H) WF ADVISORS - IRA - S									
48. Invesco Diversified Dividend Fund	A	Dividend	J	T					
49. Apache Corp.	A	Dividend	J	T					
50. Sempra Energy	A	Dividend	J	T					
51.									

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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	(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)
52. (H) WF ADVISORS - IRA - B - 7769									
53. Standard Bank Deposit	A	Dividend	J	T	Buy (add'l)	12/11/20	K		
54. Franklin Income Fund	D	Dividend	M	T					
55. Invesco Equally Weighted S&P 500	C	Dividend	M	T					
56. Invesco Diversified Dividend Fund	D	Dividend	N	T	Buy (add'l)	12/11/20	L		
57. Abbott Labs	B	Dividend	M	T					
58. A T & T	C	Dividend	K	T					
59. Bristol Meyers	B	Dividend	L	T					
60. Chevron	B	Dividend	K	T	Sold (part)	12/11/20	K	B	
61. Coca Cola	B	Dividend	L	T					
62. Conoco	A	Dividend	K	T					
63. Corteva	A	Dividend	J	T					
64. Disney	B	Dividend	M	T	Sold (part)	12/11/20	M		
65. Dow Inc	A	Dividend	J	T					
66. DuPont Inc	A	Dividend	K	T					
67. Intel	B	Dividend	L	T					
68. IBM	B	Dividend	K	T					

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69. iShares NASDAQ Biotechnology ETF	A	Dividend	K	T	Buy	12/11/20	K		
70. Johnson & Johnson	C	Dividend	M	T					
71. Phillips 76	B	Dividend	K	T					
72. Proctor & Gamble	C	Dividend	M	T					
73. Sempra Energy	B	Dividend	L	T					
74. SPDR Gold Trust ETF		None	K	T	Buy	12/11/20	K		
75. Yum Brands	A	Dividend	K	T					
76. Yum China Holdings	A	Dividend	K	T					
77. Capitol One 5.00% Pfd Perpetual Maty	A	Dividend	L	T	Buy (add'l)	12/11/20	L		
78. PS Bus Parks 4.875% Pfd Series Z Perpetual Maty	A	Dividend	K	T					
79. Public Storage 4.90% Pfd 10/14/2021	A	Dividend	K	T					
80. Public Storage 5.2% Pfd 01/16/2018	B	Dividend			Sold	12/11/20	K	A	
81. Public Storage 5.125% Pfd 5/17/2021	C	Dividend	L	T					
82. Wells Fargo 4.75% Pfd Perpetual Mat'y		None	L	T	Buy	12/11/20	L		
83.									

1 Income Gain Codes:	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
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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/ William B. Shubb**

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