

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Kasubhai, Mustafa T.                                                                                                                 | <b>2. Court or Organization</b><br><br>U.S. District Court -- Oregon                                                                                                                                                                   | <b>3. Date of Report</b><br><br>10/29/2020                     |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Magistrate Judge -- Full Time                                                 | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>1/1/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                                           | <b>5b.</b> <input checked="" type="checkbox"/> Amended Report                                                                                                                                                                          |                                                                |
| <b>7. Chambers or Office Address</b><br><br>5400 Unites States Courthouse<br>405 East Eighth Avenue<br>Eugene, Oregon 97401                                                                               |                                                                                                                                                                                                                                        |                                                                |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions )

☒ NONE (No reportable positions.)

| <u>POSITION</u> | <u>NAME OF ORGANIZATION/ENTITY</u> |
|-----------------|------------------------------------|
| 1. _____        | _____                              |
| 2. _____        | _____                              |
| 3. _____        | _____                              |
| 4. _____        | _____                              |
| 5. _____        | _____                              |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions )

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                                  |
|-------------|-------------------------------------------------------------------------------------------|
| 1. 2007     | State of Oregon -- Judicial Pension under the Judicial Public Employees Retirement System |
| 2. _____    | _____                                                                                     |
| 3. _____    | _____                                                                                     |

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Name of Person Reporting

Kasubhai, Mustafa T.

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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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     | employment with economic consulting firm, EcoNorthwest |
| 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. Oregon Trial Lawyers Association | August 9, 2019  | Ashland, Oregon  | CLE Presentation | Lodging and Meals             |
| 2. Oregon State Bar                 | October 5, 2019 | Salishan, Oregon | CLE Presentation | Lodging and Meals             |
| 3.                                  |                 |                  |                  |                               |
| 4.                                  |                 |                  |                  |                               |
| 5.                                  |                 |                  |                  |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Kasubhai, Mustafa T.     | 10/29/2020     |

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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## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                |   |          |   |   |  |  |  |  |  |
|----------------------------------------------------------------|---|----------|---|---|--|--|--|--|--|
| 1. Umpqua Bank Checking #1 (Cash account)                      |   | None     | K | T |  |  |  |  |  |
| 2. Umpqua Bank Checking #2 (Cash account)                      |   | None     | K | T |  |  |  |  |  |
| 3. Umpqua Bank Money Market (Cash account)                     | A | Interest | J | T |  |  |  |  |  |
| 4. Rental Property, Eugene, Oregon (estimated \$350,000 value) | E | Rent     | N | W |  |  |  |  |  |
| 5. TD Ameritrade Money Market (Cash account)                   | A | Interest | K | T |  |  |  |  |  |
| 6. TD Ameritrade Cash Sweep Account                            | A | Interest | N | T |  |  |  |  |  |
| 7. Oregon Growth Savings Plan (Active Fixed Income Option)     |   | None     | K | T |  |  |  |  |  |
| 8. Oregon Growth Savings Plan (Life Path 2035 Fund)            |   | None     | J | T |  |  |  |  |  |
| 9. Oregon Growth Savings Plan (Life Path 2040 Fund)            |   | None     | J | T |  |  |  |  |  |
| 10. Oregon Growth Savings Plan (Large Co. Growth Stock Option) |   | None     | J | T |  |  |  |  |  |
| 11. Oregon Growth Savings Plan (International Stock Option)    |   | None     | J | T |  |  |  |  |  |
| 12. Oregon Growth Savings Plan (Small Company Stock Option)    |   | None     | J | T |  |  |  |  |  |
| 13. Oregon Growth Savings Plan (Stable Value Option)           |   | None     | M | T |  |  |  |  |  |
| 14. Etrade Brokerage Account (Cash only)                       | A | Interest | M | T |  |  |  |  |  |
| 15. Etrade IRA (Cash only)                                     | A | Interest | N | T |  |  |  |  |  |
| 16. Capitol One (Cash only)                                    |   | None     | J | T |  |  |  |  |  |
| 17. Fedex (FDX) Etrade Brokerage                               | A | Dividend | J | T |  |  |  |  |  |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Growth Fund of America (AGTHX) Etrade Brokerage                                                                        | B                                      | Distribution                           | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. New Perspectives Fund (ANWPX) Etrade Brokerage                                                                         | A                                      | Distribution                           | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Advanced Micro Devices (AMD) Etrade Roth IRA                                                                           |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 21. Ariel Fund Investor (ARGFX) Etrade Roth IRA                                                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 22. Ariel Appreciation Investor (CAAPX) Etrade Roth IRA                                                                    |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. Sleep Number Corp (SNBR) Etrade Roth IRA                                                                               |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. Sierra Wireless (SWIR) Etrade Roth IRA                                                                                 |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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

Part VII, Column B: Lines reflecting no income are 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.

Part VII, rows 16-24: Upon reviewing my financial records I determined that I had not previously disclosed my spouse's Etrade accounts (brokerage and Roth IRA). This amendment reflects this correction.

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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/ Mustafa T. Kasubhai**

**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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