

FINANCIAL DISCLOSURE REPORT
FINAL FILING

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) Block, Robert N.	2. Court or Organization C.D. of California	3. Date of Report 03/01/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Recalled)	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 Edward J. Schwartz U.S. Courthouse 221 West Broadway, Room 3A San Diego, CA 92101		
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	Family Trust
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.)*

<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. 2020	Self-employed doctor
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.				

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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 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. Wells Fargo Bank cash accounts	A	Interest	L	T					
2. Chase Bank cash accounts	A	Interest	L	T					
3. Citibank cash accounts	A	Interest	K	T					
4. Capital One Bank cash accounts	A	Interest	J	T					
5. Credit Karma cash accounts	A	Interest	J	T					
6. Bank of Whittier cash account	A	Interest	M	T	Open	06/26/20	M		
7. Note receivable--Bella Mar RV Park LLC		None	L	W					
8. Note receivable--Phair Real Estate Acquisition Fund		None	K	W					
9. RETIREMENT PLAN (H)									
10. --American Fds 2015 Trgtdtrmt R6		None	M	T					
11. --American Fds 2020 Trgtdtrmt R6		None	M	T					
12. --American Fds Bal R6		None	L	T					
13. --Vanguard Wellesley Income Admiral		None	M	T					
14. --Nationwide Fixed Select Option	E	Interest	O	T					
15. --National Life whole life policy	C	Dividend	M	T					
16. BROKERAGE ACCOUNT #1 (H)									
17. --JP Morgan US Govt Money Mkt Fd	A	Dividend			Redeemed	03/02/20	N		

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. --Chase Deposit Sweep account	A	Interest	N	T	Open	03/02/20	N		
19. --Apple Inc. common stock	B	Dividend	N	T					
20. --EQM Midstream Ptnrs LP	B	Distribution			Merged (with line 21)	06/17/20	K		
21. --Equitrans Midstream Corp.	A	Dividend	K	T	Open	06/17/20	K		
22. --Magellan Midstream Partners LP	C	Distribution	K	T					
23. --Tallgrass Energy LP		None			Redeemed	04/20/20	K	D	
24. --MLPX	C	Distribution	K	T					
25. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	N	T					
26. --American Ser II Tax Exempt Fd of Calif	A	Dividend	J	T					
27. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
28. --American Short Term Bond Fd	B	Dividend	L	T					
29. --American General Stable Growth 5 Fixed Annuity	C	Interest	M	T					
30. --Protective Life Deferred Fixed Annuity	C	Interest	M	T					
31. -- Symetra Select 5 FixedAnnuity	D	Interest	N	T					
32. BROKERAGE ACCOUNT #2 (H)									
33. --JP Morgan Deposit Sweep Acct		None			Closed	03/02/20	J		
34. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	N	T					

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	

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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)
35. --American Ser II Tax Exempt Fd of Calif	A	Dividend	J	T					
36. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
37. --American Short Term Bond Fd	B	Dividend	L	T					
38. --Blackrock 20 80 Target Allocation Fd	B	Dividend	K	T					
39. --Pimco Inc Fd	C	Dividend	L	T					
40. --Prudential Financial Inc.common stock	C	Dividend	L	T					
41. BROKERAGE ACCOUNT #3 (H)									
42. --JP Morgan US Govt Money Mkt Fd	A	Dividend			Redeemed	03/02/20	L		
43. --Chase Deposit Sweep account	A	Interest	L	T	Open	03/02/20	L		
44. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	N	T					
45. --American Ser II Tax Exempt Fd of Calif	A	Dividend	K	T					
46. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
47. --American Short Term Bond Fd	B	Dividend	L	T					
48. --Blackrock 20 80 Target Allocation Fd	C	Dividend	L	T					
49. --Pimco Inc Fd	D	Dividend	M	T					
50. --State of Calif Various Purpose G/O Rfdg Bds dated 03/08/2012	B	Interest	K	T					
51. --Greenfield Calif Un Sch Bds dated 11/6/19	A	Interest	K	T					

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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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52. IRA ACCOUNT #1 (H)									
53. --JP Morgan US Govt Money Mkt Fd	A	Dividend			Redeemed	03/02/20	J		
54. --Chase IRA Deposit Sweep account	A	Interest	J	T	Open	03/02/20	J		
55. --American Ser Tax-Advantaged Growth & Income Fd	B	Dividend	L	T					
56. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	T					
57. --American Short Term Bond Fd	A	Dividend	K	T					
58. --Blackrock 20 80 Target Allocation Fd	A	Dividend	K	T					
59. --Pimco Inc Fd	C	Dividend	L	T					
60. --Western Asset Middle Mkt Income Fd	B	Dividend	K	T					
61. IRA ACCOUNT #2 (H)									
62. --JP Morgan US Govt Money Mkt Fd	A	Dividend			Redeemed	03/02/20	J		
63. --Chase IRA Deposit Sweep account	A	Interest	J	T	Open	03/02/20	J		
64. --American Ser Tax-Advantaged Growth & Income Fd	A	Dividend	K	T					
65. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	T					
66. National Life whole life policy	A	Dividend	M	T					
67. Brighthouse Life universal life policy	A	Interest	M	T					

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

Part I. All of the assets listed in Part VII technically are held by the family trust to which I referred in Part I.

Part VII, Item Nos. 10-13. The financial entity in which these retirement plan investments are held does not credit income or dividends to the individual investments held, but rather reports only the market value of each investment as of the report date.

Part VII, Item Nos. 17-18, 33, 42-43, 53-54, and 62-63. Each of our brokerage accounts historically has had what is known as a "sweep" deposit account for all otherwise uninvested cash. In 2020, prior to 3/2/20, all otherwise uninvested cash in Brokerage Account #1, Brokerage Account #2, Brokerage Account #3, IRA Account #1, and IRA Account #2 was invested automatically in the JP Morgan US Govt Money Market Fund. On 3/2/20, those Money Market Fund investments with uninvested cash were redeemed, and the proceeds were deposited into bank accounts denominated as (a) the Chase Deposit Sweep account for Brokerage Account #1 and Brokerage Account #3 and (b) the Chase IRA Deposit Sweep account for IRA Account #1 and IRA Account #2. When the JP Morgan US Govt Money Market Fund became unavailable to serve as a sweep account on 3/2/20, there was no uninvested cash to redeem in the sweep account for Brokerage Account #2. So, for Brokerage Account #2, I characterized that sweep account as being closed on 3/2/20. When I ran the audit, it said I couldn't leave Column D(3) blank, but had to provide a value code, so I put J as the value on 3/2.

Part VII, Item Nos 20-21. On 6/17/20, EQM Midstream Partners LP was merged into Equitrans Midstream Corp. I have separately reported the distributions received from EQM Midstream Partners LP and the dividends received from Equitrans Midstream Corp.

Part VII, Item No. 23. On 4/20/20, all the shares of Tallgrass Energy LP were acquired by another company for cash in a merger transaction. For reporting purposes, I have characterized this transaction as a redemption.

Part VII, Item Nos. 29-31. We are not receiving any distributions from these deferred fixed annuities, but they are earning interest at the contract rates so I have reported the amount of interest earned during the reporting period in column B(1).

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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/ **Robert N. Block**

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