

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) Gee, Dolly M.	2. Court or Organization United States District Court, Central District of California	3. Date of Report 08/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address United States District Court, Central District of CA 350 W. First Street, Suite 4311 Los Angeles, CA 90012-4565		
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. 2020	Former Law Firm 401(k) through ABA Retirement Funds Program/TD Ameritrade
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.		
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. Bank of America account (cash-equivalent)	A	Interest	J	T					
2. Citibank accounts (cash-equivalent)	A	Interest	L	T					
3. E*Trade Financial accounts (cash-equivalent)	A	Interest	J	T					
4. OneWest Bank accounts (cash-equivalent)	A	Interest	J	T					
5. Ally Bank accounts (cash-equivalent)	D	Interest	N	T					
6. Capital One accounts (cash-equivalent)	A	Interest	K	T					
7. Wells Fargo accounts (cash-equivalent)	A	Interest	J	T					
8. Brokerage Account #1 (H)									
9. -Blackberry Ltd Common Stock		None	J	T					
10. -Live Oak Bancshares Inc. Common Stock	A	Dividend	J	T					
11. -Stitch Fix Inc. Common Stock		None	J	T	Buy (add'l)	03/10/20	J		
12. -Equinor ASA Common Stock (formerly StatOil Hydro ASA)	A	Dividend	J	T					
13. -Nvidia Corp. Common Stock	A	Dividend	M	T	Sold (part)	08/28/20	J	D	
14. -Ambarella Common Stock		None	J	T					
15. -Skyworks Common Stock	A	Dividend	K	T					
16. -Kinder Morgan Common Stock	A	Dividend	J	T					
17. -Enterprise Products Partners Common Stock	A	Dividend	J	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. -Mastercard, Inc. Common Stock	A	Dividend	L	T					
19. -Talend S.A. Common Stock		None	J	T					
20. -Shopify Inc. Common Stock		None	K	T					
21. -STMicroelectronics Common Stock	A	Dividend	K	T					
22. -Okta, Inc. Common Stock		None	K	T					
23. -Axon Enterprise, Inc. Common Stock		None	J	T					
24. -Zoom Video Communications, Inc. Common Stock		None	K	T	Buy	01/03/20	J		
25. -Fastly, Inc. Common Stock		None	J	T	Buy	03/05/20	J		
26. -Rockwell Automation, Inc. Common Stock (X)	B	Dividend	L	T					
27. -Zynga Inc. Common Stock		None	J	T	Buy	07/22/20	J		
28. -Sea Limited Common Stock		None	J	T	Buy	08/28/20	J		
29. -3M Company Common Stock	A	Dividend	J	T	Buy	03/16/20	J		
30. -Charles Schwab Corporation Common Stock	A	Dividend	J	T	Buy	03/18/20	J		
31. Citigroup Common Stock	A	Dividend	J	T					
32. Brokerage Account #2 (401(k)) (H)									
33. -ABA Retirement Stable Asset Return Fund	A	Interest	O	T					
34. -ABA Retirement Bond Core Plus Fund	A	Dividend	J	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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35. -ABA Retirement Large Cap Equity Fund	B	Dividend	M	T					
36. -ABA Retirement Large Cap Index Equity Fund	A	Dividend	K	T					
37. -ABA Retirement All Cap Index Equity Fund	B	Dividend	M	T					
38. -ABA Retirement Small-Mid Cap Equity Fund	A	Dividend	L	T					
39. -ABA Retirement International All Cap Equity Fund	A	Dividend	J	T					
40. -ABA Retirement International Index Equity Fund	A	Dividend	J	T					
41. -TD Ameritrade Money Market Portfolio	A	Int./Div.	J	T					
42. -Ariel Appreciation Mid-Cap Blend Mutual Fund	A	Int./Div.	J	T	Sold (part)	12/29/20	J	A	
43. -Bridgeway Ultra Small Co. Mkt Fund	A	Int./Div.	J	T					
44. -Dodge & Cox Int'l Stock Fund	A	Int./Div.	J	T					
45. -Federated Prudent Bear Fund	A	Int./Div.	J	T					
46. -Forester Value Mutual Fund	A	Int./Div.			Sold	02/05/20	J	A	
47. -Voya Corporate Leaders Trust Series B Mutual Fund (formerly ING)	A	Dividend	K	T					
48. -Meridian Growth Fund	A	Int./Div.	K	T	Sold (part)	06/05/20	J	A	
49. -RBC Enterprise Fund (formerly Tamarack)	A	Int./Div.			Sold	01/23/20	J	A	
50. -Vanguard Star Mutual Fund	A	Int./Div.	K	T					
51. -San Juan Basin Royalty Trust	A	Dividend	J	T					

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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. -GE Common Stock	A	Dividend	J	T					
53. -Home Depot Common Stock	A	Dividend	K	T					
54. -Intel Corp. Common Stock	A	Dividend	J	T					
55. -MSFT Common Stock	B	Dividend	L	T					
56. -Equinor ASA Common Stock (formerly StatOil Hydro ASA)	A	Dividend	J	T					
57. -Vanguard Dividend Growth Fund	A	Int./Div.	J	T					
58. -Parnassus Equity Income Fund	A	Int./Div.	K	T					
59. -Vanguard Selected Value Fund	A	Int./Div.			Sold	11/27/20	J	A	
60. -2030 Retirement Date Fund	A	Int./Div.	L	T					
61. -Activision Blizzard, Inc. Common Stock		None	J	T					
62. -Ambarella Common Stock		None			Sold	11/30/20	J	C	
63. -Apple Common Stock	A	Dividend	K	T					
64. -Paypal Common Stock		None	J	T					
65. -Shopify Common Stock		None	K	T					
66. -iQIYI, Inc. Common Stock		None	J	T					
67. -Zuora, Inc. Common Stock		None	J	T					
68. -Salesforce.com, Inc. Common Stock		None	K	T	Buy	01/27/20	K		

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69. -Zscaler, Inc. Common Stock		None	J	T	Buy	02/21/20	J		
70. -Anaplan, Inc. Common Stock		None	J	T	Buy	02/25/20	J		
71. -Teradyne, Inc. Common Stock	A	Dividend	J	T	Buy	06/08/20	J		
72. -CrowdStrike Holdings, Inc. Common Stock		None	J	T	Buy	07/14/20	J		
73. -Viavi Solutions Inc. Common Stock		None	J	T	Buy	10/21/20	J		
74. -Inphi Corp. Common Stock		None	J	T	Buy	10/26/20	J		
75. -II-VI Inc. Common Stock		None	J	T	Buy	12/08/20	J		
76. -QuantumScape Corp. Common Stock		None	J	T	Buy	12/22/20	J		
77. Brokerage Account #3 (401(k)) (H)									
78. -Metropolitan West Bond Fund	A	Int./Div.	K	T					
79. -T Rowe Price Tax Free High Yield Bond Fund	A	Dividend	J	T					
80. -JP Morgan Municipal Money Market Fund	A	Int./Div.	J	T					
81. Gabelli US Treasury Money Market Fund	A	Dividend	K	T					
82. Brokerage Account #4 (H)									
83. -Rockwell Automation Common Stock (Y)									
84. -United Technologies Corp. Common Stock (formerly Rockwell Collins)(Y)									

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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/ **Dolly M. Gee**

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