

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) McAuliffe, Barbara A.	2. Court or Organization Eastern District of California, Fresno Division	3. Date of Report 4/23/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate 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 Magistrate Judge Barbara A. McAuliffe Robert E. Coyle U.S. Courthouse 2500 Tulare St. 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

McAuliffe, Barbara A.

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4/23/2021

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. ABA

2/13/2020-2/15/2020

Austin, Tx

Bar association meeting

airfare, food, and lodging (partial reimbursement)

2.

3.

4.

5.

Name of Person Reporting	Date of Report
McAuliffe, Barbara A.	4/23/2021

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.		bracelet	\$1,000.00
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. Premier Valley Bank	A	Interest	J	T					
2. Charles Schwab (401K)									
3. --Schwab US Tres. money fund	B	Interest	J	T					
4. --Bank of America	A	Int./Div.	K	T					
5. --Am Fund cap world growth	A	Dividend	K	T					
6.									
7.									
8. AT&T	A	Dividend	J	T					
9.									
10.									
11.									
12.									
13. Chevron	A	Dividend	J	T					
14.									
15.									
16.									
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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☐ 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.									
19.									
20.									
21.									
22.									
23.									
24.									
25.									
26.									
27.									
28. Pfizer Inc	A	Dividend			Sold	01/29/20	J		
29. Southern Company	A	Dividend	J	T					
30. Weingarten Rlty Invs SBI	A	Int./Div.	J	T					
31. Wells Fargo & Co	A	Dividend	J	T					
32.									
33.									
34.									

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

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K =\$15,001 - \$50,000

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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

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

McAuliffe, Barbara A.

Date of Report

4/23/2021

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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.									
37.									
38.									
39.									
40.									
41.									
42.									
43. Vanguard Balanced Index Fund	A	Dividend	K	T					
44. Vanguard Total Stock Market Admiral Fund	A	Dividend	L	T					
45. Vanguard 500 Index Fund Admiral	A	Dividend	K	T					
46.									
47. VanguardMid-Cap Index Fund	A	Dividend	J	T	Buy (add'l)	01/01/20	J		
48. Vanguard LifeStrategy Conserv. Grwth	A	Dividend	J	T	Buy (add'l)	01/01/20	J		
49.									
50. Vanguard Explorer	A	Dividend	J	T					
51. Vanguard Cal Intermediate Tx Exempt	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

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	(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)
52. Vanguard Wellesley Income	A	Dividend	J	T					
53. Alcoa Inc	A	Int./Div.	J	T					
54. Applied Materials Inc	A	Dividend	J	T					
55.									
56. Costco wholesale Inc	A	Dividend	J	T					
57.									
58. EOG Resources Inc	A	Dividend	J	T					
59. Exxon Mobil Corp	A	Dividend	J	T					
60. Gildan Activewear Inc	A	Dividend	J	T					
61. Medtronic PLC	A	Dividend	J	T					
62. Merck &Co	A	Dividend	J	T					
63.									
64.									
65. Stryker Corp	A	Dividend	J	T					
66.									
67. Arconic	A	Dividend	J	T					
68. Dell Technologies	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 10

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69.									
70. Schwab Intermediate term bond fund (Schwab 401K)	A	Int./Div.			Sold	02/27/19	J	A	
71. Schwab Fundamental US Large index (Schwab 401K)	A	Int./Div.	J	T					
72. Schwab Fundament US Small index (Schwab 401K)	A	Int./Div.	J	T					
73. Schwab Total Bond fund	A	Interest	J	T					
74. Schwab Fundamental US large index	A	Int./Div.	J	T					
75. WEC Energy Group	A	Dividend	J	T					
76. Schwab "Cash, Money Market and Deposit Account"	A	Int./Div.	J	T					
77. Vanguard Windsor II fund Investor	A	Dividend			Sold	02/25/20	J		
78. Schwab US Aggregate Bond Index	A	Dividend	J	T	Buy (add'l)	02/07/20	J		
79. LMGEX (Schwab QS Int'l Eqty Fund)	A	Int./Div.			Sold	11/30/20	J		
80. Schwab 1000 Index Fund	A	Dividend	J	T					
81. Schwab S&P500 Index Fund (401K)	A	Dividend	J	T					
82. Schwab MarkettrackBalanceFund	A	Dividend	J	T					
83. Schwab US Mid Cap Index	A	Dividend	J	T	Buy	11/30/20	J		
84. Howmet Aerospace Inc.	A	Dividend	J	T	Spinoff (from line 67)	04/01/20	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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 10

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

Line 47 - Vanguard Mid Cap Index - each month is an additional buy, but there was no way to show monthly

Line 48 - Vanguard Life Strategy - each month is an additional buy, but there was no way to show monthly

Line 78 - Correction from 2019 financial. I incorrectly reported that I sold Schwab US Aggregate Bonds on 2/27/19. I did not sell any Schwab US Aggregate Bonds in 2019 and confused it with "Schwab Intermediate term bond fund," line 70 (on the 2019 financial report and on this report) which I in fact sold on 2/27/19. For the 2020 financial report, I am correcting that I still own Schwab US Aggregate Bonds and bought additional shares on 2/7/2020.

Line 84 - spinoff from Arconic. Arconic Inc. split into two companies — Arconic Corp. and Howmet Aerospace.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

McAuliffe, Barbara A.

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4/23/2021

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/ **Barbara A. McAuliffe**

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