

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Ishii, Anthony W.	2. Court or Organization U.S. District Court Eastern District of California	3. Date of Report 05/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. District Court 2500 Tulare Street 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	THE A & J ISHII TRUST
2. Trustee	By-Pass Trust of Joe & Chisako Ishii FBO Anthony Ishii
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. 1994	California Judges Retirement System; retirement benefits based upon age and years of service
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. 2016	California Judges Retirement System	\$103,686.00
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. 2016	California Public Employees' Retirement System
2. 2016	Fresno County Employees' Retirement Association
3. 2016	Pacific Gas & Electric Company Retirement System
4. 2016	Insure America Project - Salary

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.)*

<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. Ishii Bros., Inc. Common Stock		None	N	U					
2. Invesco Van Kampen Comstock Fund	A	Dividend	K	T					
3. Rancon Realty Fund V		None			Distributed	12/15/16	J	A	
4. Wells Fargo Bank Accounts	A	Interest	K	T					
5. Davis New York Venture A	A	Dividend	K	T					
6. Morgan Stanley Focus Growth Fund	A	Dividend	K	T					
7. Templeton Foreign Fund A	A	Dividend	J	T					
8. Morgan Stanley Private Bank NA	A	Interest	L	T					
9. AT&T Inc. Common Stock	A	Dividend	J	T					
10. Alcoa Inc. Common Stock	A	Dividend			Distributed	10/20/16	J		
11. Alcoa Corp. Common Stock	A	Dividend	J	T	Spinoff (from line 10)	10/20/16	J		
12. Arconic Inc. Common Stock	A	Dividend	J	T	Spinoff (from line 10)	10/20/16	J		
13. Cisco Sys. Inc. Common Stock	A	Dividend	K	T					
14. General Electric Co. Common Stock	A	Dividend	K	T					
15. Trust #1	B	Int./Div.	M	T					
16. - Morgan Stanley Bank Account	A	Interest	K	T					
17. - AT&T Inc. Common Stock	B	Dividend	K	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 H = \$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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18. - Cisco Sys. Inc. Common Stock	A	Dividend	K	T					
19. - General Electric Co. Common Stock	A	Dividend	K	T					
20. - Davis New York Venture C	B	Dividend	J	T					
21. - Kaiser Aluminum Corp Common Stock	A	Dividend	K	T					
22. American Wa Mutual A	A	Dividend	J	T					
23. Franklin Gold & Prec Metals A	A	Dividend	J	T					
24. Trust #2	E	Distribution	O	T					
25. -FNMA 3128LBTX6	A	Interest	J	T					
26. -FNMA 31283HUD5	A	Interest	J	T					
27. -FONTANA 344619HG9	A	Interest	K	T					
28. -SOUTH SF 840036CP0	A	Interest			Redeemed	09/01/16	J		
29. -STOCKTON 861395CB5	A	Interest	K	T					
30. -ABAG FIN 00257EAQ2	A	Interest	J	T					
31. -SUNNYVALE 867570CB7	A	Interest	J	T					
32. -RNR SCH 769697EP4	A	Interest			Redeemed	09/01/16	J		
33. -CA INFRA 13033WUK7	A	Interest			Redeemed	10/27/16	J		
34. -CA INFRA 13033WVD2	B	Interest			Redeemed	10/27/16	K		

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35. -SOLANO 83412PAS1		None			Redeemed	08/01/16	K		
36. -INDIAN WLS 45455CGD4	A	Interest			Redeemed	09/01/16	J		
37. -POMONA CA 73208TPQ0	A	Interest	J	T					
38. -CA STATEWIDE 1309116N5	B	Interest	K	T					
39. -BEAUMONT 074406JY6	A	Interest	J	T					
40. -ANAHEIM CA 03255LDU0	A	Interest	K	T					
41. -ANAHEIM CA 03255LEG0	A	Interest	K	T					
42. -RIVERSIDE 769123EY2	A	Interest	K	T					
43. -SAN MARCOS 79875WJQ9	A	Interest	K	T					
44. -LAMMERSVIL 513539BH8	A	Interest	J	T					
45. -SAN JOSE 798147U36	A	Interest	K	T					
46. -MORENO VAL 616908AT6	A	Interest	J	T					
47. -IMPERIAL CA 452673BS4	A	Interest	J	T					
48. -SAN JOSE 798147U77	A	Interest	J	T					
49. -CA STATEWIDE 130795CN5	A	Interest	J	T					
50. -CA STATEWIDE 130795PT8	A	Interest	K	T					
51. -CA HEALTH 13033F3A6	A	Interest	J	T					

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52. -CA STATEWIDE 130795CQ8	B	Interest	K	T					
53. -ELK GROVE 287290LE8	A	Interest	J	T					
54. -LOS ANGELES 54439NCL9	A	Interest	J	T					
55. -UPLAND CA 915346FJ4	A	Interest	J	T					
56. -SAN FRAN 79771PT21	A	Interest	J	T					
57. -PALM DES 696617SZ3	A	Interest	J	T					
58. -RIVERSIDE 76911PMQ2	A	Interest	K	T					
59. -TRACY CA 892397HL7	A	Interest	J	T					
60. -ABAG FIN 00037CTL4	A	Interest	J	T					
61. -CA SCH 13058TAC4	A	Interest	J	T					
62. -CA SCH 13058TAB6	A	Interest	J	T					
63. -CORONA 21976TGH9	A	Interest	J	T					
64. -SAN FRAN 79772AAV9	A	Interest	J	T					
65. -SAN DIEGO 79727QBZ0	A	Interest	K	T					
66. -AGOURA HLS 00848QBZ0	A	Interest	J	T					
67. -BEAUMONT 074406QW2	A	Interest	J	T					
68. -BAYVIEW 07325HAE5	A	Interest			Sold	01/04/16	K		

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69. -CWHEQ 12668GAE2	B	Interest	K	T					
70. -CARRINGTON 14453MAE4	A	Interest	K	T					
71. -COUNTRYWIDE 12668XAD7	B	Interest	K	T					
72. -CWHEQ 12669RAC1	B	Interest	J	T					
73. -FNMA 31359VQ48	A	Interest	J	T					
74. -FNMA 31392FVB0	A	Interest	J	T					
75. -RENAISSANCE 759950CY2	A	Interest	J	T					
76. -ADJUSTABLE 007036HX7	A	Interest	J	T					
77. -CHL MORTGAGE 12669FP56 (X)	A	Interest	K	T	Buy	11/25/16	K		
78. -MORGAN STANLEY 6175KAG0 (X)	A	Interest	J	T	Buy	11/15/16	J		
79. -CARRINGTON MORT 14453MAE (X)	A	Interest	K	T	Buy	10/27/16	K		
80. -CARRINGTON MORT 14453MAB0 (X)	A	Interest	J	T	Buy	08/19/16	J		
81. -BANC OF AMER 05950WAJ7 (X)	A	Interest	K	T	Buy	08/10/16	K		
82. -JP MORGAN 46630JAE9 (X)	A	Interest	K	T	Buy	07/21/16	K		
83. -BEAR STEARNS 07388RAG2 (X)	A	Interest	J	T	Buy	07/21/16	J		
84. -CHL MORTGAGE 12669FP56 (X)	A	Interest	K	T	Buy	11/25/16	K		
85. -MORGAN STANLEY 6175KAG0 (X)	A	Interest	J	T	Buy	11/15/16	J		

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86. -CARRINGTON MORT 14453MAE4 (X)	A	Interest	K	T	Buy	10/27/16	K		
87. -BEAR STEARNS 07388RAG2 (X)	A	Interest	J	T	Buy	10/04/16	J		
88. -SOLANO BEACH 83412VBT5 (X)	A	Interest	K	T	Buy	08/31/16	K		
89. -CARRINGTON MTG 14453MAB0 (X)	A	Interest	J	T	Buy	08/19/16	J		
90. -BANC OF AMER 05950WAJ7 (X)	A	Interest	K	T	Buy	08/10/16	K		
91. -ANAHEIM CA 03255LEG0 (X)	A	Interest	K	T	Buy	08/05/16	K		
92. -SAN MARCOS 79875WJQ9 (X)	A	Interest	K	T	Buy	08/05/16	K		
93. -CA STATEWIDE 130795CP0 (X)	A	Interest	K	T	Buy	08/05/16	K		
94. -CA STATEWIDE 130795CQ8 (X)	A	Interest	K	T	Buy	08/05/16	K		
95. -CA STATE PUB WKS 1306852U3 (X)	A	Interest	J	T	Buy	08/05/16	J		
96. -SAN JOSE CA REDEV 798147W59 (X)	A	Interest	K	T	Buy	08/05/16	K		
97. -PALM DESERT CA 696617SZ3 (X)	A	Interest	J	T	Buy	08/05/16	J		
98. -RIVERSIDE CNTY CA 76911PMS8 (X)	A	Interest	K	T	Buy	08/05/16	K		
99. -MURRIETA CA 62720AAS5 (X)	A	Interest	J	T	Buy	08/05/16	J		
100. -FREDDIE MAC CMO 31393H6X5 (X)	A	Interest	J	T	Buy	08/05/16	J		
101. -GS MTG SECS 36228FUF1 (X)	A	Interest	K	T	Buy	08/05/16	K		
102. -MASTR ALTERN LN 576434ZZ0 (X)	A	Interest	J	T	Buy	08/05/16	J		

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103. -CSFB MORTGAGE 225470DU4 (X)	A	Interest	J	T	Buy	08/05/16	J		
104. -CWHEQ HOME EQ 12668GAE2 (X)	A	Interest	K	T	Buy	08/05/16	K		
105. -CARRINGTON MTG 14453MAE4 (X)	A	Interest	K	T	Buy	08/05/16	K		
106. -COUNTRYWIDE 12668XAC9 (X)	A	Interest	J	T	Buy	08/05/16	J		
107. -COUNTRYWIDE 12668XAD7 (X)	A	Interest	K	T	Buy	08/05/16	K		
108. -CWHEQ HOME EQ 12669RAC1 (X)	A	Interest	J	T	Buy	08/05/16	J		
109. -Silverlake 7-11 LLC (Los Angeles, CA) (X)	E	Rent	N	S	Buy	08/19/16	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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Name of Person Reporting

Ishii, Anthony W.

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

Additional Information and Explanations regarding entries in Part VII. Investments and Trusts:

Entries # 10, 11, and 12

On October 20, 2016, Alcoa Inc. reorganized into two independent publicly traded companies, Alcoa Corporation and Arconic, Inc., with approximately 25% of my Alcoa Inc. common stock distributed to Alcoa Corporation common stock and approximately 75% of my Alcoa Inc. common stock distributed to Arconic, Inc. common stock. Entries #10, 11, and 12 reflect these transactions.

Entry # 109

Pursuant to the provisions of the estate plan of my now deceased father and mother, a by-pass trust was created as ANTHONY W. ISHII TTEE BY-PASS TRUST OF JOE & CHISAKO ISHII FBO ANTHONY ISHII UAD 5/8/1972.

In my 2015 Financial Disclosure Report, I listed myself as the trustee of this by-pass trust in Part I Positions, and I also listed this by-pass trust as Trust #2 in Part VII Investments and Trusts with the various assets of the by-pass trust listed below it.

Pursuant to the estate plan, one asset of the estate was real property which included a retail structure. Silverlake 7-11 LLC has now been created with this real property and retail structure as its sole asset. This new asset is now listed as Entry #109 in Part VII. In Column D(1) Transaction Type, I entered "Buy" because that was the only "Acquisition" entry option available, and my Audit Report stated that Column D(1) should be completed for each transaction; however, the asset was acquired by way of the estate plan. Silverlake 7-11 LLC was recorded with the Office of the Assessor, County of Los Angeles on 10-05-2015; on 08-19-2016, the Office of the Assessor completed its Investigation of Ownership Change and approved a Change of Ownership Exclusion pursuant to California Revenue and Taxation Code Section 62(a)(2). On 08-19-2016 the Office of the Assessor determined the value of the asset to be \$327,562.

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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/* **Anthony W. Ishii**

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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Washington, D.C. 20544