

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) Shubb, William B.	2. Court or Organization U. S. District Court	3. Date of Report 04/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U. S. District Court Judge	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 501 I Street Suite 14-210 Sacramento, CA 95814		
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.	

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. (H) BANK ACCOUNTS									
2. Bank America Accounts	A	Interest	M	T					
3. 1st Community Credit Union	A	Interest	J	T					
4.									
5. (H) ANNUITIES									
6. American Skandia - PIMCO Total Return		None	K	T					
7. American Skandia - T Rowe Price Large Cap Fund		None	K	T					
8. American Skandia - Cohen & Steers Realty Fnd		None	K	T					
9. American Skandia - Lord Abbett Core Bond		None	K	T					
10. American Skandia - Profund Large Cap		None	K	T					
11.									
12. Venture Annuity - US Equity Fund		None	K	T					
13.									
14. (H) LIMITED PARTNERSHIPS									
15. Municipal Mortg. & Equity	B	Dividend	K	W					
16.									
17.									

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 = \$250,000.001 - \$500,000.000	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 \$5,000,000.000	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. (H) RAYMOND JAMES IRA									
19. RJ Bank Dep.	A	Dividend	J	T					
20. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
21.									
22. (H) RAYMOND JAMES ACCOUNT (JT - 3136)									
23. Eagle Tax Free Money Fund	A	Dividend	J	T					
24. Alliance Muni Income CA	C	Dividend	M	T					
25. Invesco Van Kampen Interm Muni Fund	A	Dividend	K	T					
26. Mainstay Conservative Allocation Fund	A	Dividend	K	T	Sold (part)	12/28/16	K	B	
27. WF Advantage Strategic Muni Bond Fund	A	Dividend	J	T	Sold (part)	12/28/16	J	A	
28. Putnam Global Industrials Fund	A	Dividend	K	T	Buy	12/28/16	K		
29.									
30. (H) RAYMOND JAMES ACCOUNT (-3073)									
31. Eagle Tax Free Money Fund	A	Dividend	J	T					
32. AB Muni Income CA, fmrlly Alliance Muni Incm Ins'd CA	B	Dividend	K	T	Sold (part)	12/28/16	K		
33. Fidelity Advisor Real Estate Income "C"	C	Dividend	M	T					
34. Franklin Income Fund	C	Dividend	L	T					

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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	
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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				
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35. Franklin Income Fund "C"	C	Dividend	K	T					
36. Invesco Equity & Income Fund "C"	A	Dividend	K	T					
37. Invesco Van Kampen Equity Income Fund	B	Dividend	L	T					
38. Prudential Stock Index Fund "C"	D	Dividend	L	T					
39. J Hancock Regional Bank Fund	A	Dividend	K	T	Buy	12/28/16	K		
40.									
41. (H) WF ADVISORS-IRA (B)									
42. WF Bank Deposit Sweep	A	Dividend	J	T					
43. Equally Weighted S&P Fund	A	Dividend	L	T					
44. New Perspective Fund	A	Dividend	J	T					
45.									
46. (H) WF ADVISORS (JT)									
47. WF Bank Deposit Sweep	A	Dividend	J	T					
48. Boeing	C	Dividend	L	T					
49. Chevron	B	Dividend	L	T					
50. Coca Cola	B	Dividend	K	T					
51. General Electric	B	Dividend	K	T					

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52. Intel	A	Dividend	K	T					
53. Proctor & Gamble	B	Dividend	K	T					
54. Investment Company of America	C	Dividend	M	T	Buy (add'l)	07/26/16	K		
55. New Perspective Fund	B	Dividend	M	T	Buy (add'l)	07/26/16	K		
56.									
57. (H) IRA - S									
58. WF Bank Deposit Sweep	A	Dividend	J	T					
59. Diversified Dividend Fund	A	Dividend	J	T					
60. Apache Corp.	A	Dividend	J	T					
61. Sempra Energy	A	Dividend	J	T					
62.									
63. (H) IRA/ROLLOVER of HR-10									
64. WF Bank Deposit Sweep	A	Dividend	J	T					
65. Franklin Income Fund	C	Dividend	L	T					
66. Equally Weighted S&P 500	B	Dividend	L	T	Sold (part)	07/12/16	L	E	
67. Diversified Dividend Fund	B	Dividend	M	T					
68. Abbott Labs	A	Dividend	K	T	Buy (add'l)	12/19/16	J		

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69. AbbVie	B	Dividend			Sold	06/08/16	L	E	
70. A T & T	B	Dividend	K	T					
71. Boeing	B	Dividend	L	T	Buy (add'l)	04/26/16	K		
72. Bristol Meyers	B	Dividend	K	T					
73. Chevron	C	Dividend	M	T					
74. Coca Cola	B	Dividend	K	T					
75. Conoco	A	Dividend	K	T					
76. Disney	B	Dividend	L	T	Buy (add'l)	06/08/16	K		
77. Dow Chemical	B	Dividend	K	T	Buy (add'l)	12/19/16	K		
78. General Electric	B	Dividend	K	T					
79. Intel	B	Dividend	K	T	Buy (add'l)	06/08/16	K		
80. IBM	B	Dividend	K	T					
81. Johnson & Johnson	C	Dividend	M	T					
82. Phillips 76	B	Dividend	K	T					
83. Proctor & Gamble	B	Dividend	L	T	Buy (add'l)	12/19/16	J		
84. Sempra Energy	B	Dividend	K	T	Buy (add'l)	04/15/16	K		
85. Target	A	Dividend	K	T					

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86. Yum Brands	A	Dividend	J	T					
87. Yum China Holdings		None	J	T	Spinoff (from line 86)	11/01/16	J		
88. Delphi Fincl 7.376% Pfd 5/1/67	A	Dividend	J	T					
89. Equity Commonwealth 7.23% Pfd 5/15/16	B	Dividend			Sold	07/12/16	K		
90. Equity Commonwealth 5.75% Pfd 8/1/42 (EQCO)	B	Dividend	K	T	Buy (add'l)	07/12/16	K		
91. GE Capital 4.875% Pfd (GEB)	C	Dividend	L	T					
92. GE Capital 4.7% Pfd 5/16/53 (GEK)	C	Dividend	L	T	Buy (add'l)	07/12/16	K		
93. Morgan Stanley 6.45% Pfd 4/15/67 (MSK)	B	Dividend			Sold	07/26/16	K	B	
94. Morgan Stanley 6.25% Pfd 3/1/33 (MWR)	A	Dividend			Sold	07/26/16	K		
95. PS Bus Parks 5.75% Pfd	B	Dividend	L	T					
96. Public Storage 5.125% Pfd 5/17/2021	B	Dividend	L	T	Buy	07/26/16	L		
97. Welltower 6.5% Pfd	C	Dividend	L	T					

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

Line 90 of the 2015 FDR "Delphi Financial 7.376% Pfd 5/1/67" was moved to line 89 of the 2016 FDR.

Line 93 of the 2015 FDR "Welltower 6.5% Pfd" was moved to line 98 of the 2016 FDR.

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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/ William B. Shubb

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