

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 04/18/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 501 I Street [REDACTED] 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	University of California, Davis, School of Law
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 11

Name of Person Reporting

Shubb, William B.

Date of Report

04/18/2012

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. 2011	Regents of the University of California	\$668.10
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.	
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Shubb, William B.

Date of Report

04/18/2012

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Shubb, William B.

Date of Report

04/18/2012

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 ACCOUNTS									
2. Bank America (Checking)	A	Interest	K	T					
3. Bank America (Maximizer)	A	Interest	J	T					
4. 1st Community Credit Union	A	Interest	J	T					
5.									
6. ANNUITIES									
7. American Skandia		None	M	T					
8. Venture Annuity		None	J	T					
9.									
10. LIMITED PARTNERSHIPS									
11. Municipal Mortg. & Equity	B	Dividend	K	W					
12.									
13. RAYMOND JAMES IRA									
14. RJ Bank Dep.	A	Dividend	J	T					
15. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
16.									
17. RAYMOND JAMES ACCOUNT #1 -									

1. Income Gain Codes:	A –\$1,000 or less	B –\$1,001 - \$2,500	C –\$2,501 - \$5,000	D –\$5,001 - \$15,000	E –\$15,001 - \$50,000
(See Columns B1 and D4)	F –\$50,001 - \$100,000	G –\$100,001 - \$1,000,000	H1 –\$1,000,001 - \$5,000,000	H2 –More than \$5,000,000	
2. Value Codes	J –\$15,000 or less	K –\$15,001 - \$50,000	L –\$50,001 - \$100,000	M –\$100,001 - \$250,000	
(See Columns C1 and D3)	N –\$250,001 - \$500,000	O –\$500,001 - \$1,000,000	P1 –\$1,000,001 - \$5,000,000	P2 –\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 –\$25,000,001 - \$50,000,000		P4 –More than \$50,000,000		
(See Column C2)	Q –Appraisal	R –Cost (Real Estate Only)	S –Assessment	T –Cash Market	
	U –Book Value	V –Other	W –Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

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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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18. Eagle Tax Free Money Fund	A	Dividend	K	T					
19. WF Advantage Strategic Muni Bond Fund	A	Dividend	J	T					
20. Franklin CA High Yield Muni	C	Dividend	L	T					
21. Columbia CA Tax Exempt, fmly Seligman CA Hi Yld Muni	C	Dividend	L	T					
22. Invesco Van Kampen Interm Muni Fund	B	Dividend	K	T					
23.									
24. RAYMOND JAMES ACCOUNT #2 [REDACTED]									
25. Eagle Tax Free Money Fund	A	Dividend	J	T					
26. Alliance Muni Income Ins'd CA	B	Dividend	K	T					
27. Franklin Income Fund	C	Dividend	L	T					
28. Franklin Strategic Income Fund	C	Dividend	L	T					
29. Highland Capital Floating Rate	A	Dividend			Sold	12/16/11	K		
30. Oppenheimer Senior Fltg Rate	D	Dividend	M	T	Buy (add'l)	12/16/11	K		
31. Invesco Van Kampen Equity Income Fund	A	Dividend	K	T					
32.									
33. WF ADVISORS-IRA (B), fmly WACHOVIA IRA									
34. Equally Weighted S&P Fund	A	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 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 6 of 11

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Shubb, William B.

Date of Report

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35. New Perspective Fund	A	Dividend	J	T					
36.									
37. WF ADVISORS fmly WACHOVIA									
38. Bank sweep acct.	A	Dividend	K	T					
39. Boeing	A	Dividend	K	T					
40. Chevron	A	Dividend	K	T					
41. Coca Cola	A	Dividend	K	T					
42. General Electric	A	Dividend	K	T					
43. Intel	A	Dividend	K	T					
44. Proctor & Gamble	A	Dividend	K	T					
45. Investment Company of America	A	Dividend	K	T					
46. New Perspective Fund	A	Dividend	K	T					
47.									
48. IRA									
49. Bank Deposit Sweep	A	Dividend	J	T					
50. Diversified Dividend Fund, fmly Dividend Growth Fund	A	Dividend	J	T					
51. Apache Corp.	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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52. Sempra Energy	A	Dividend	J	T					
53.									
54. IRA/ROLLOVER of HR-10									
55. Bank Deposit Sweep	A	Dividend	J	T					
56. Franklin Income Fund	D	Dividend	L	T					
57. Equally Weighted S&P 500	B	Dividend	L	T					
58. Diversified Dividend Fund, fmrlly Dividend Growth Fund	B	Dividend	L	T					
59. JPM International Value Fund	A	Dividend	J	T					
60. Abbott Labs	A	Dividend	K	T	Buy (add'l)	01/27/11	J		
61. A T & T	B	Dividend	K	T					
62. Boeing	A	Dividend	K	T					
63. Bristol Meyers	A	Dividend	K	T					
64. Catepillar	B	Dividend	L	T					
65. Chevron	B	Dividend	L	T					
66. Cisco	A	Dividend	J	T					
67. Coca Cola	B	Dividend	K	T					
68. Comcast	A	Dividend			Sold	1/27/11	J	B	

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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. Conoco	B	Dividend	K	T					
70. Dow Chemical	A	Dividend	K	T	Buy	12/30/11	K		
71. Du Pont	A	Dividend			Sold	12/30/11	K	D	
72. General Electric	A	Dividend	K	T					
73. Hewlett Packard	A	Dividend	J	T	Buy (add'l)	5/3/11	J		
74. Intel	B	Dividend	K	T					
75. IBM	B	Dividend	L	T					
76. Johnson & Johnson	B	Dividend	L	T	Buy (add'l)	1/27/11	J		
77. Microsoft	A	Dividend	K	T					
78. Proctor & Gamble	A	Dividend	J	T	Buy (add'l)	5/3/11	J		
79. Sempra Energy	A	Dividend	K	T					
80. Target	A	Dividend	J	T					
81. Walt Disney	A	Dividend	K	T					
82. Yum Brands	A	Dividend	J	T					
83. Zimmer Holdings	A	Dividend			Sold	1/27/11	J	B	
84. Aegon 6.375% Pfd 6/15/15	A	Dividend	K	T	Buy	5/9/11	K		
85. Commonwealth 7.23% Pfd 5/15/16	C	Dividend	K	T	Buy	11/7/11	K		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

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Shubb, William B.

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86. CORTS - BMY Squibb 8-1-97 (KNR)	B	Dividend	K	T					
87. Delphi Fincl 7.376% Pfd 5/1/67	A	Dividend	J	T					
88. GE Capital Sr. Notes 2/18/33 (GED)	B	Dividend	K	T					
89. GE Capital PINES 6/28/32 (GEA)	C	Dividend	K	T					
90. GECC 6.1% PINES 11/15/32 (GEC)	B	Dividend	K	T					
91. Mississippi Pwr 5.625% Pfd 4/15/67	A	Dividend	J	T					
92. Morgan Stanley 6.45% Pfd 4/15/67 (MSK)	B	Dividend	K	T					
93. SATURNS GE 6% Pfd 3/15/32 (DKC)	A	Dividend			Sold	4/26/11	K	A	
94. Wachovia 6.375% Pfd 6/1/67	B	Dividend			Sold	11/7/11	K	B	
95. Wells Fargo Capital 6.25% 6/15/67 (FWF)	B	Dividend			Sold	11/7/11	K	B	
96.									

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

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Shubb, William B.

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04/18/2012

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

Line 14 2010 Report "Government Strips" deleted due to value less than \$1,000.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

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Shubb, William B.

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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