

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) Newman, Kendall J.	2. Court or Organization District Court - Eastern District of California	3. Date of Report 04/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full Time	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 United States Courthouse 501 I Street Room 8-220 Sacramento, California 95814		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> 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. _____
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. 2011

self-employed writer

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.)*

	<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.									
2. Chicago Bridge & Iron Co. stock	A	Dividend	J	T					
3. General Electric Co. stock	A	Dividend	J	T					
4. Home Depot Inc. stock	A	Dividend	J	T					
5. Honeywell International Inc. stock	A	Dividend	J	T					
6. Ishares DJ US Basic Mtls SCTR	A	Dividend	J	T					
7. Ishares DJ US Energy SCTR Index	A	Dividend	J	T	Buy	02/15/11	J		
8.	A	Dividend	J	T	Buy (add'l)	06/23/11	J		
9. Ishares DJ US Healthcare Sctr	A	Dividend	J	T					
10. Ishares MSCI Brazil (free) index	A	Dividend	J	T					
11. Ishares MSCI Canada Index FD	A	Dividend	J	T					
12. Ishares MSCI Hong Kong Ind FD	A	Dividend	J	T					
13. Ishares MSCI South Korea Ind FD	A	Dividend	J	T					
14. Ishares S&P 500 Value Index	A	Dividend	J	T					
15. Ishares S&P 500 Growth Index	A	Dividend	J	T					
16. Ishares S&P Mid Cap 400 Value	A	Dividend	J	T					
17. Ishares S&P Mid Cap 400 Growth	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. Ishares S&P small cap 600 value	A	Dividend	J	T					
19. Ishares Small Cap 600 Growth	A	Dividend	J	T					
20. Pepsico Inc NC stock	A	Dividend			Sold	02/23/11	J	A	
21. Powershares Dynamic Biotechnology	A	Dividend	J	T					
22. Powershares QQQ TR	A	Dividend	J	T					
23. The India Fund Inc		None	J	T					
24. Alpha Natural Resources Inc stock		None	J	T					
25. Amer Intl GP Inc New stock		None			Sold	02/15/11	J	A	
26. AT&T Inc stock	A	Dividend	J	T					
27. Baxter Intl Inc stock	A	Dividend			Sold	12/20/11	J		
28. Ishares MSCI EAFE Fund	A	Dividend			Sold	12/20/11	J	A	
29. Ishares MSCI Hong Kong Ind FD	A	Dividend	J	T	Sold (part)	12/20/11	J	A	
30. Ishares MSCI South Korea Ind FD	A	Dividend	J	T					
31. Ishares Russell Microcap	A	Dividend			Sold	02/15/11	J	A	
32. Ishares S&P 500 Value Index	A	Dividend	J	T	Sold (part)	12/20/11	J	A	
33. Ishares S&P Growth Index	A	Dividend	J	T	Sold (part)	12/20/11	J	A	
34. Ishares S&P Midcap 400 Index	A	Dividend	J	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	
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. Ishares SP smallcap 600 Index	A	Dividend	J	T	Sold (part)	12/20/11	J	B	
36. Johnson & Johnson stock	A	Dividend	J	T					
37. Powershares Dynamic Biotechnology	A	Dividend	J	T	Sold (part)	12/20/11	J	A	
38. Powershares QQQ TR	A	Dividend	J	T					
39. Powershares WLDHill Clean energy	A	Dividend			Sold	12/20/11	J		
40. Stryker Corp stock	A	Dividend	J	T					
41. The India Fund	A	Dividend	J	T	Sold (part)	07/14/11	J	A	
42.	A	Dividend	J	T	Sold (part)	12/20/11	J		
43. United Technologies Corp	A	Dividend	J	T					
44. Ishares DJ US Healthcare SCTR	A	Dividend	J	T	Sold (part)	07/14/11	J	A	
45. Ishares MSCI Brazil (Free) Index	A	Dividend	J	T	Sold (part)	07/14/11	J	B	
46. Ishares MSCI EAFE Fund	A	Dividend	J	T	Sold (part)	02/23/11	J	A	
47. Ishares MSCI Hong Kong Ind FD	A	Dividend	J	T	Sold (part)	07/14/11	J	B	
48. Ishares MSCI South Korea Ind FD	A	Dividend	J	T	Sold (part)	07/14/11	J	B	
49. Ishares S&P 500 Growth Index	A	Dividend	J	T					
50. Ishares S&P 500 Value Index	A	Dividend	J	T					
51. Ishares S&P Midcap 400 Index	A	Dividend	J	T	Buy (add'l)	02/23/11	J		

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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.	A	Dividend	J	T	Sold (part)	07/14/11	J	B	
53. Ishares SP Smallcap 600 Index	A	Dividend	J	T	Buy (add'l)	02/23/11	J		
54.	A	Dividend	J	T	Sold (part)	07/14/11	J	A	
55. Powershares Dynamic Biotechnology	A	Dividend	J	T	Sold (part)	07/14/11	J	A	
56. The India Fund		None	J	T					
57. Morgan Stanley Bank N.A.	A	Interest	J	T					
58. First US Community Credit Union	A	Interest	J	T					
59. Green Mountain Coffee	A	Dividend	J	T					
60. Wesco Intl Inc	A	Dividend	J	T					
61. Johnson Controls Inc	A	Dividend	J	T					
62. Enterprise Product Partners LP		None			Buy	01/06/11	J		
63.					Sold	02/23/11	J	A	
64. JA Solar Holdings Co Ltd	A	Dividend	J	T	Buy	02/15/11	J		
65. ARM Holdings PLC	A	Dividend	J	T	Buy	02/23/11	J		
66. S&P North American Tech Soft	A	Dividend	J	T	Buy	02/15/11	J		
67. SPDR S&P Oil & Gas Equip SVC	A	Dividend	J	T	Buy	02/15/11	J		
68.	A	Dividend	J	T	Buy (add'l)	06/23/11	J		

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69. ISHARES DJ US Tech Index Fund	A	Dividend	J	T	Buy	02/15/11	J		
70. Advanced Micro Devices	A	Dividend	J	T	Buy	05/05/11	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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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/ **Kendall J. Newman**

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