

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) Wu, George H.	2. Court or Organization Central District of California	3. Date of Report 06/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 United States Courthouse 350 West First Street Los Angeles, CA 90012		
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. Co-Trustee	XXXX Family Trust ("Trust # 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. 11/03/1993	CALPERS - California State Judge's Retirement System - Receipt since 2013 of retirement benefits from 13 years on the state court bench.
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	CALPERS - California State Judge's Retirement System - retirement benefits	\$96,038.70
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. American Bar Association, Section of Antitrust Law	April 5 - 6, 2016	Washington, D.C.	Presentation at Spring Antitrust Meeting	Transportation, meals
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.	Provident Funding	Co-borrower for mortgage on real property in Trust #1	N
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. Bank of America accounts	A	Interest	N	T					
2. Fidelity Rollover IRA: SDGAX	A	Dividend	K	T					
3. Fidelity Rollover IRA: FPURX	A	Dividend	J	T					
4. Allianzgi Focused Growth CI C (PGWCX)	A	Dividend	J	T					
5. LosAngeles County 401K - Savings 2010 Target Date Fund		None	J	T					
6. LosAngeles County 401K - Savings 2015 Target Date Fund		None	M	T					
7. LosAngeles County 401K - Savings Non-U.S. Equity Fund		None	K	T					
8. LosAngeles County 401K - Savings Small Cap Equity Fund		None	L	T					
9. LosAngeles County 401K - Savings Large Cap Equity Fund (X)		None	J	T					
10. LosAngeles County 401K - Savings Balanced Fund		None	L	T					
11. LosAngeles County 401K - Savings Bond Fund		None	M	T					
12. LosAngeles County 401K - Savings Stable Value Fund		None	L	T					
13. Los Angeles County 457 Plan - Horizons Non-U.S. Equity Fund		None	J	T					
14. L.A. County 457 Plan - Horizons Large Cap Equity Fund -see Pt. VIII		None	K	T					
15. Los Angeles County 457 Plan - Horizons Balanced Fund		None	K	T					
16. Los Angeles County 457 Plan - Horizons Bond Fund		None	J	T					
17. Los Angeles County 457 Plan - Horizons Stable Income Fund		None	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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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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)

18. Citibank accounts	A	Interest	J	T		08/10/16	J	A	
19. Personal and Real Property in Trust # 1		None	P1	W					
20.									
21.									
22.									
23.									
24.									
25.									
26.									
27.									
28.									

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

As to the accounts delineated in Part VII, Nos. 5-17, they are all portions of two 401(k)/Horizon plans into which I enrolled while a state court judge. All of them consist of investment accounts where a manager selects various mutual and other types of funds into which the collective monies of the account are placed for a period of time. When an employee elects to direct a portion of his or her earnings into said account, he or she receives a number of "shares" equal to the amount invested at the current price of the share. During any periods of time, the price of the shares may go up or down. When the employee exits the plan and/or otherwise sells the shares, there is potentially "income" cognizable at that point. However, during the periods when the employee leaves the shares in the account, there is no calculation of (or apparently any way to calculate) income to the employee in that situation as the employee is not informed of the transactions engaged in by the account manager. I contacted the staff for the Committee on Financial disclosure in 2016, explained the above scenario, and was advised in the end to leave the Part VII(B)(1) column blank and to put the word "none" in Part VII(B)(2).

As to Trust # 1, there was no income received by said family trust in 2016.

June 16, 2017 Addendum: (1) The Los Angeles County 457 - Horizons Large Cap Equity Fund ("LCEF") account was inadvertently left off my amended 2016 Financial Disclosure Report ("FDR"), which I prepared after being told to itemize in Part VII the individual components of my two 401(k)/Horizons plans that I enrolled in while I was a state court judge in the 1990's. I correctly included the CLEF account in my original 2017 FDR, but there is no parallel reference to that account in the amended 2016 FDR due to the aforementioned inadvertence.

(2) I opened savings and checking accounts at Citibank in August of 2016.

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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/ **George H. Wu**

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