

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Block, Robert N.	2. Court or Organization C.D. of California	3. Date of Report 02/15/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge (Recalled)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 01/16/2019
7. Chambers or Office Address Edward J. Schwartz U.S. Courthouse 221 West Broadway, Room 3A San Diego, CA 92101		
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.	General Partner (passive)	MS&K Realty Co, (interest=approx. .46%)
2.	Trustee	Trust #1
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.		
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.		
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. 2017-18	Self-employed doctor
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.				
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. MS&K Realty Co. investment (Los Angeles, California)	B	Distribution							
2. Wells Fargo Bank cash accounts	A	Interest	M	T					
3. Chase Bank cash accounts	A	Interest	M	T					
4. Citibank cash accounts	A	Interest	K	T					
5. Capital One Bank cash accounts	C	Interest	N	T					
6. Note receivable--Bella Mar RV Park LLC		None	L	W					
7. Note receivable--Phair Real Estate Acquisition Fund		None	K	W					
8. RETIREMENT PLAN (H)									
9. --BoFA Cash/Money Mkt accts	A	Dividend							
10. --Loomis Sayles Strategic Income Fd	A	Dividend							
11. --Kinder Morgan Management LLC	A	Dividend							
12. --Doubleline Total Return Fd	B	Dividend							
13. --Blackrock Global Allocation Fd		None							
14. --FPA Crescent Fd		None							
15. --PIMCO Income Fd	C	Dividend							
16. --PIMCO All Asset Fd	A	Dividend							
17. --Highland Global Allocation Fd	A	Dividend							

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		

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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. --American Fds 2015 TrgtDtrmt R6		None	M	T					
19. --American Fds 2020 TrgtDtrmt R6		None	L	T					
20. --American Fds Bal R6		None	L	T					
21. --Vanguard Wellesley Income Admiral		None	M	T					
22. --Nationwide Fixed Select Option		None	O	T					
23. --National Life whole life policy	D	Dividend	M	T					
24. BROKERAGE ACCOUNT #1 (H)									
25. --JP Morgan Deposit Sweep Acct	A	Interest	L	T					
26. --Apple Inc. common stock	C	Dividend	M	T					
27. --Buckeye Partners LP	D	Distribution	K	T					
28. --EQM Midstream Partners LP	C	Distribution	K	T					
29. --Magellan Midstream Partners LP	D	Distribution	J	T					
30. --Tallgrass Energy LP	C	Distribution	K	T					
31. --Andeavor (formerly Tesoro) Logistics LP	C	Distribution	J	T					
32. --Western Refining Logistics LP	B	Distribution							
33. --American Ser Tax-Advantaged Growth & Income Fd	C	Dividend	K	T	Sold (part)	10/22/18	K	B	
34. --American Ser II Tax Exempt Fd of Calif	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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35. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
36. --American Balanced Fd	D	Dividend	M	T	Buy (add'l)	10/22/18	L		
37. --American Target Date Retirement Ser Inc 2020	B	Dividend			Sold	10/22/18	K	B	
38. --American Short Term Bond Fd	B	Dividend	L	T					
39. --American EuroPacific Growth Fd	B	Dividend	J	T					
40. --American Intl Growth & Income Fd	A	Dividend	J	T					
41. --American New World Fd	A	Dividend	J	T					
42. --Western National Life Deferred Fixed Annuity	D	Interest	M	T					
43. --Protective Life Deferred Fixed Annuity	C	Interest	M	T	Buy	03/17/18	L		
44. BROKERAGE ACCOUNT #2 (H)									
45. --JP Morgan Deposit Sweep Acct	A	Interest	J	T					
46. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	L	T	Buy (add'l)	06/08/18	L		
47.					Sold (part)	10/22/18	K	A	
48. --American Ser II Tax Exempt Fd of Calif	A	Dividend	J	T					
49. --American Balanced Fd	D	Dividend	M	T	Buy (add'l)	10/22/18	L		
50. --American Target Date Retirement Ser Inc 2020	B	Dividend			Sold	10/22/18	K	C	
51. --American Limited Term Tax Exempt Bond Fd	A	Distribution	J						

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. --American Short Term Bond Fd	B	Dividend	L	T					
53. --American EuroPacific Growth Fd	A	Distribution	J	T					
54. --American Intl Growth & Income Fd	A	Dividend	J	T					
55. --American New World Fd	A	Dividend	J	T					
56. --Blackrock 20 80 Target Allocation Fd	C	Dividend	K	T					
57. --Pimco Inc Fd	D	Dividend	L	T					
58. --Prudential Financial Inc.common stock	C	Dividend	L	T					
59. --California St Dept Wtr Res Pwr Suooly Rev Ser 2008	A	Interest							
60. BROKERAGE ACCOUNT #3 (H)									
61. --JP Morgan Deposit Sweep Acct	A	Interest	K	T					
62. --American Ser Tax-Advantaged Growth & Income Fd	D	Dividend	L	T	Sold (part)	10/22/18	K	B	
63. --American Ser II Tax Exempt Fd of Calif	B	Dividend	K	T					
64. --American Balanced Fd	E	Dividend	M	T	Buy (add'l)	10/22/18	L		
65. --American Target Date Retirement Ser Inc 2020	C	Dividend			Sold	10/22/18	L	C	
66. --American Limited Term Tax Exempt Bond Fd	A	Dividend	J	T					
67. --American Short Term Bond Fd	B	Dividend	L	T					
68. --American EuroPacific Growth Fd	A	Dividend	J	T					

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69. --American Intl Growth & Income Fd	A	Dividend	J	T					
70. --American New World Fd	A	Distribution	J	T					
71. --Blackrock 20 80 Target Allocation Fd	D	Distribution	L	T					
72. --Pimco Inc Fd	D	Distribution	M	T					
73. --Riverside Calif Elec Rev Bds dated 12/16/2010	B	Interest	K	T					
74. --State of Calif Various Purpose G/O Rfdg Bds dated 03/08/2012	B	Interest	K	T					
75. --State of Calif Various Purpose G/O Bds dated 04/01/2009	C	Interest	J	T					
76. IRA ACCOUNT #1 (H)									
77. --JP Morgan Sweep Accts	A	Int./Div.	J	T					
78. --American Ser Tax-Advantaged Growth & Income Fd	B	Dividend	K	T					
79. --American Balanced Fd	C	Dividend	K	T					
80. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	T					
81. --American Short Term Bond Fd	A	Dividend	K	T					
82. --American EuroPacific Growth Fd	A	Dividend	J	T					
83. --American Intl Growth & Income Fd	A	Dividend	J	T					
84. --American New World Fd	A	Dividend	J	T					
85. --Blackrock 20 80 Target Allocation Fd	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 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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86. --Pimco Inc Fd	D	Dividend	L	T					
87. --Western Asset Middle Mkt Income Fd	C	Dividend	K	T					
88. IRA ACCOUNT #2 (H)									
89. --JP Morgan Sweep Accts	A	Int./Div.	J	T					
90. --American Ser Tax-Advantaged Growth & Income Fd	B	Dividend	J	T					
91. --American Balanced Fd	A	Dividend	J	T					
92. --American Target Date Retirement Ser Inc 2020	A	Dividend	J	T					
93. National Life whole life policy	E	Dividend	M	T					
94. Brighthouse Life (formerly MetLife) universal life policy	E	Interest	N	T					

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

Please be advised that this Financial Disclosure Report covers the reporting period requirements for both my initial report and my annual (CY 2018) report. Where I did not list transactions in Column D of Part VII, there were none in CY 2018.

Part VII, Item No. 1. The final K-1 for MS&K Realty was issued in 2018 for CY 2017. Since I no longer have an investment interest to report, I left blank the end of reporting period columns.

Part VII, Item Nos. 9-17. All of these investments were liquidated in 2017, when the retirement plan was set up with a different financial entity.

Part VII, Item Nos. 18-22. The financial entity in which these retirement plan investments are held does not credit income to the individual investments held, but rather reports only the market value of each investment as of the report date.

Part VII, Item No.32. Effective October 30, 2017, Western Refining Logistics LP was acquired by Andeavor Logistics LP. Since I already held an investment in Andeavor (Part VII, Item No. 31), the two investments were merged.

Part VII, Item Nos. 42-43. We are not receiving any distributions from these deferred fixed annuities, but they are earning interest at the contract rates so I have reported the amount of interest earned during the reporting period in column B(1).

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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/ Robert N. Block

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