AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Shubb, William B.	U. S. District Court	06/30/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
Senior U. S. District Court Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

POSITION	NAME OF ORGANIZATION/ENTITY
1.	
2.	
3.	
4.	
5.	

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

DATE	PARTIES AND TERMS
1.	
2.	
3.	

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Shubb, William B.	06/30/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
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 - BlackRock-Loomis Bond, fmrly PIMCO Total Return		None	K	T					
7. American Skandia - T Rowe Price Large Cap Fund		None	L	T					
8. American Skandia - Cohen & Steers Realty Fnd		None	K	T					
9. American Skandia - Western Asset Bond fmrly Lord Abbett Core Bond		None	K	T					
10. American Skandia - Profund Large Cap		None	L	T					
11.									
12. Venture Annuity - US Equity Fund		None	K	T					
13.									
14. (H) RAYMOND JAMES IRA									
15. RJ Bank Dep.	A	Dividend	J	T					
16. Oppenheimer Senior Fltg Rate Fund	A	Dividend	J	T					
17.									

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
3 Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Shubb, William B.	06/30/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

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18. (H) RAYMOND JAMES - Trust [redacted]									
19. RJ Bank Dep. Program	A	Dividend	J	T					
20. MMA Capital Holdings		None			Sold	08/15/21	J	A	
21. Invesco Interm Muni Fnd - VKLMX	A	Dividend			Sold	09/30/21	K		
22. Invesco Oppenheimer Rochester CA Muni Fund "C" OCACX	D	Dividend	M	T	Sold (part)	03/17/21	M	A	
23.					Sold (part)	09/30/21	L	A	
24. Invesco Equity & Income Fund "C" - ACERX	A	Distribution	L	T					
25. Invesco Equity & Income Fund "A" ACEIX	B	Dividend	L	T					
26. Eaton Vance Short Dur'n Infl Prot Incm - ECRRX	A	Dividend	K	T	Buy	09/30/21	K		
27. Franklin Income Fund "A1" FKINX	C	Dividend	L	T					
28. Franklin Income Fund "A" (FKIQX)	B	Dividend	K	T					
29. Franklin Income Fund "C" (FCISX)	A	Dividend	K	T					
30. MSIF Short Duration Income Fnd (MSLDX)	C	Dividend	M	T	Buy	12/29/21	M		
31. Catalyst floating Rate Income Fnd (CFRCX)	B	Dividend	M	T	Buy	03/17/21	M		
32. PGIM QMA Stock Index Fund "C" (PSICX)	C	Dividend			Sold	03/17/21	N	G	
33. Putnam Focused Equity Fund "C" (PGIEX)	A	Dividend	L	T					
34. Virtus Floating Rate High Income (SFRCX)	A	Dividend	M	T	Buy	12/29/21	M		

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35. Virtus Convertible Fund (ANZCX)	A	Dividend			Buy	03/17/21	M		
36.					Sold	12/29/21	L		
37. iShares US Real Estate ETF (1YR)	A	Dividend	L	T	Buy	09/30/21	L		
38.									
39. (H) WF ADVISORS -Trust									
40. Standard Bank Deposit	A	Dividend	J	T					
41. Boeing		None	L	T					
42. Chevron	B	Dividend	K	T					
43. Coca Cola	B	Dividend	K	T					
44. Intel	B	Dividend	K	T					
45. iShares NASDAQ Biotechnolgy ETF	A	Dividend	K	T					
46. Proctor & Gamble	B	Dividend	L	T					
47. SPDR GORLD TRUST GLD		None	L	T	Buy	11/19/21	L		
48. Investment Company of America	D	Dividend	O	T					
49. New Perspective Fund	C	Dividend	O	T					
50.									
51. (H) WF ADVISORS - IRA									

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52. Standard Bank Deposit	A	Dividend	J	T	Buy	12/15/21	J		
53. Apache Corp.	A	Dividend	J	T					
54. Sempra Energy	A	Dividend	J	T					
55. Invesco Diversified Dividend Fund	A	Dividend	J	T	Sold (part)	11/17/21	J	B	
56.									
57. (H) WF ADVISORS - IRA [redacted]									
58. Standard Bank Deposit	A	Dividend	M	T					
59. Abbott Labs	C	Dividend	M	T					
60. A T & T	C	Dividend	K	T					
61. Bristol Meyers	C	Dividend	L	T					
62. Chevron	B	Dividend	L	T					
63. Coca Cola	B	Dividend	L	T					
64. Conoco	B	Dividend	L	T					
65. Corteva	A	Dividend	J	T					
66. Disney		None	L	T					
67. Dow Inc	A	Dividend	J	T					
68. DuPont Inc	A	Dividend	K	T					

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69. Intel	C	Dividend	L	T					
70. IBM	B	Dividend	K	T					
71. iShares NASDAQ Biotechnology ETF	A	Dividend	K	T					
72. Johnson & Johnson	C	Dividend	M	T					
73. Kyndryl Hldgs		None	J	T					
74. Phillips 66	B	Dividend	K	T					
75. Proctor & Gamble	C	Dividend	M	T					
76. Sempra Energy	B	Dividend	L	T					
77. SPDR Gold Trust ETF		None	M	T	Buy (add'l)	06/29/21	L		
78. Yum Brands	A	Dividend	L	T					
79. Yum China Holdings	A	Dividend	K	T					
80. Invesco Diversified Dividend Fund CL A LCEAX	D	Dividend	N	T	Buy (add'l)	06/29/21	K		
81. Invesco Equally Weighted S&P 500 Class A VADAX	C	Dividend	N	T	Buy (add'l)	06/29/21	K		
82. Franklin Income Fund	C	Dividend	L	T	Sold (part)	11/17/21	K		
83. New Perspective FD A ANWPX	A	Dividend	K	T					
84. PS Bus Parks 4.875% Pfd Series Z Perpetual Maty	A	Dividend	K	T					
85. Wells Fargo 4.75% Pfd Perpetual Mat'y	B	Dividend	L	T					

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86. Capital One 5.00% Pfd Perpetual Maty	C	Dividend			Sold (part)	11/17/21	J	B	
87.					Sold	11/17/21	J		
88. Public Storage 4.90% Pfd 10/14/2021	A	Dividend			Sold	12/30/21	J		
89. Public Storage 5.125% Pfd 5/17/2021	C	Dividend			Sold	06/30/21	L		
90.									
91.									
92.									

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

Line 39-42 of 2020 FDR deleted as these assets were transfered to IRA [redacted]

Amended FDR filed to change Line 74 from Phillips 76 to Phillips 66

Name of Person Reporting	Date 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/ 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 G-330
One Columbus Circle, N.E.
Washington, D.C. 20544