Kuta Robert J Form 4 March 07, 2019

# FORM 4

### **OMB APPROVAL**

## UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

**OMB** 3235-0287 Number:

Check this box if no longer subject to Section 16. Form 4 or

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF

January 31, Expires: 2005 Estimated average

0.5

Form 5 obligations may continue.

See Instruction

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

**SECURITIES** 

response...

5. Relationship of Reporting Person(s) to

burden hours per

1(b).

Common

Common

Stock

Stock

(Print or Type Responses)

1. Name and Address of Reporting Person \*

03/05/2019

03/06/2019

1. Name and Address of Reporting Person ** Kuta Robert J		Symbol CALIF	r Name and Ticker or Trading  ORNIA WATER SERVICE  P [CWT]	5. Relationship of Reporting Person(s) to Issuer  (Check all applicable)			
(Last) 1720 NOR	(First) (M	(Month/D	f Earliest Transaction Day/Year) 019	Director 10% Owner Officer (give title below)  VP, Engineering			
SAN JOSE	(Street)		endment, Date Original nth/Day/Year)	6. Individual or Joint/Group Filing(Check Applicable Line) _X_ Form filed by One Reporting Person Form filed by More than One Reporting Person			
(City)	(State)	(Zip) Tabl	e I - Non-Derivative Securities Acq	quired, Disposed of, or Beneficially Owned			
1.Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. 4. Securities Acquired Transaction(A) or Disposed of (D) Code (Instr. 3, 4 and 5) (Instr. 8)  (A) or Code V Amount (D) Price	5. Amount of Securities Form: Direct Indirect Beneficially (D) or Beneficial Owned Indirect (I) Ownership Following (Instr. 4) (Instr. 4) Reported Transaction(s) (Instr. 3 and 4)			

1,457

303 (2) D

A

F

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

Persons who respond to the collection of SEC 1474 information contained in this form are not (9-02)required to respond unless the form displays a currently valid OMB control number.

11,309

11,006

52.83

D

D

### Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of	2.	3. Transaction Date	3A. Deemed	4.	5.	6. Date Exerc	cisable and	7. Title	e and	8. Price of	9. Nu
Derivative	Conversion	(Month/Day/Year)	Execution Date, if	Transacti	orNumber	Expiration D	ate	Amou	nt of	Derivative	Deriv
Security	or Exercise		any	Code	of	(Month/Day/	Year)	Underl	lying	Security	Secui
(Instr. 3)	Price of		(Month/Day/Year)	(Instr. 8)	Derivativ	e		Securit	ties	(Instr. 5)	Bene
	Derivative				Securities			(Instr.	3 and 4)		Own
	Security				Acquired						Follo
	·				(A) or						Repo
					Disposed						Trans
					of (D)						(Instr
					(Instr. 3,						
					4, and 5)						
									A		
									Amount		
						Date	Expiration		or		
						Exercisable	Date		Number		
				C 1 W	(A) (D)				of		
				Code V	(A) (D)				Shares		

# **Reporting Owners**

Reporting Owner Name / Address	Relationships					
	Director	10% Owner	Officer	Other		
Kuta Robert J 1720 NORTH FIRST STREET SAN JOSE CA 95112			VP, Engineering			

## **Signatures**

/s/ Michelle Mortensen on behalf of Robert 03/07/2019 Kuta

> \*\*Signature of Reporting Person Date

# **Explanation of Responses:**

- If the form is filed by more than one reporting person, see Instruction 4(b)(v).
- Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- RRestricted stock granted 3/5/2019 pursuant to the California Water Service Group equity incentive plan in a transaction exempt under **(1)** Rule 16-b-3. RSA vests with one-third on March 5, 2020, with the remaining 2/3 vesting quarterly over the succeeding 24 months.
- Represents the number of shares withheld by and surrendered to the Issuer to satisfy the tax withholding obligations that arose in connection with the vesting of the Restricted Stock (RSA) Award #438.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number. TD align=right> 8,269,694 3,600 Port Auth. New York & New Jersey Rev., 5.00%, 4/15/32, Ser. 125 (FSA) Aaa/AAA 3,825,072 7,500 State Dormitory Auth. Lease Rev., State Univ. Dormitory Facs., (Pre-refunded @ \$100, 7/1/12) (a) Aa3/AA- 8,000,325 State Dormitory Auth. Rev., 2,600 Catholic Health of Long Island, 5.10%, 7/1/34 Baa1/BBB 2,704,468 7,490 Court Facs., 5.50%, 5/15/31 (AMBAC)(g) NR/NR 9,287,825 2,000 Health Hospital, 5.05%, 2/15/25 (FHA) NR/AAA 2,096,520 5,300 Lenox Hill Hospital, 5.50%, 7/1/30 Ba2/NR 5,568,604 Long Island Univ. (Radian), 1,320 5.25%, 9/1/28 Aa3/AA 1,387,148 80 5.25%, 9/1/28, (Pre-refunded @ \$102, 9/1/09) (a) Aa3/AA 84,678 8,850 North General Hospital, 5.00%, 2/15/25 NR/AA- 9,266,215 5,000 5.00%, 12/1/35 (Radian)(g) NR/NR 5,316,100 1,500 Sloan-Kettering Center Memorial, 5.00%, 7/1/34, Ser. 1 Aa2/AA St. Barnabas Hospital, 5.00%, 2/1/31, Ser. A (AMBAC-FHA) Aaa/AAA 5,243,200 8,600

Reporting Owners 2

Income Tax, 5.00%, 3/15/32, (Pre-refunded @ \$100, 3/15/13) (a) Aa3/AAA 9,247,064 1,250 Student Housing Corp., 5.125%, 7/1/34 (FGIC) Aaa/AAA 1,349,950 4,270 Teachers College, 5.00%, 7/1/32 (MBIA) Aaa/NR 4,501,946 2,000 Yeshiva Univ., 5.125%, 7/1/34 (AMBAC) Aaa/NR 2,159,920 2,000 State Environmental Facs. Corp., State Clean Water & Drinking Rev., 5.125%, 6/15/31 Aaa/AAA 2,121,600 6,100 State Urban Dev. Corp., Personal Income Tax Rev., 5.00%, 3/15/33, Ser. C-1, (Pre-refunded @ \$100, 3/15/13) (a) Aa3/AAA 6,558,964 Tobacco Settlement Asset Backed, Inc. Rev., Ser.1, 25,000 5.00%, 6/1/34 NR/BBB 25,442,500 25,000 5.75%, 7/15/32, (Pre-refunded @ \$100, 7/15/12) (a) Aaa/AAA 27,585,250 10,000 6.375%, 7/15/39, (Pre-refunded @ \$101, 7/15/09) (a) Aaa/AAA 10,721,200

## PIMCO New York Municipal Income Fund II Schedule of Investments

	ew York Municipal Income Fund II Schedule of Investments		
	8, 2007 (unaudited)		
Principal		0 11 5 11	
Amount		Credit Rating	\/_\\
(000)	Trib control Dridge C Trans at Auth Dev (FOIC TODS)	(Moody's/S&P)	Value*
¢710	Triborough Bridge & Tunnel Auth. Rev. (FGIC-TCRS),	A = = /A A A	¢745.266
\$710	5.00%, 1/1/32	Aaa/AAA	\$745,266
3,990	5.00%, 1/1/32, (Pre-refunded @ \$100, 1/1/12) (a)	Aaa/AAA	4,236,861
2,000	Warren & Washington Cntys. Industrial Dev. Agcy. Fac. Rev., Glens Falls Hospital,		2 112 260
750	5.00%, 12/1/35, Ser. A (FSA)	Aaa/AAA	2,113,360
/50	Westchester Cnty. Industrial Dev. Agcy. Continuing Care Retirement Rev.,	ND /ND	006.040
	Kendal on Hudson, 6.50%, 1/1/34	NR/NR	806,940
	Tatal Navy Vavl. Municipal Danda C Natas (asst-4241 215 161)		256 001 070
	Total New York Municipal Bonds & Notes (cost□\$241,215,161)		256,091,978
OTHER M	UNICIDAL BONDS S NOTESTS 00/		
OTHER MI	UNICIPAL BONDS & NOTES 6.0%		
	California ☐3.1%  Alameda Unified School Dist., Alameda Cnty., GO, Ser. A (FSA),		
3,500	zero coupon, 8/1/24	Aaa/AAA	1,680,455
3,000	zero coupon, 8/1/25	Aaa/AAA	1,373,490
	California Cnty., Tobacco Securitization Agcy. Rev.,	Baa3/NR	1,575,490
3,000	zero coupon, 6/1/28	Baas/Mix	4,296,450
3 130	Covina Valley Unified School Dist., GO, zero coupon, 6/1/25, Ser. B (FGIC)	Aaa/AAA	1,443,181
3,130	covina valicy office school bist., Go, zero coupon, 0/1/25, ser. b (Fole)	Αυμγαλία	8,793,576
			0,733,370
	Colorado 0.0%		
210	Dawson Ridge Dist. No. 1, GO, zero coupon, 10/1/22, Ser. A	Aaa/NR	108,929
210	5413511 Mage 5154 No. 1, 65, 2215 esapon, 10,2,22, 5611 N	710077111	100,323
	Puerto Rico ☐ 2.9%		
5 675	Children's Trust Fund, Tobacco Settlement Rev., 5.625%, 5/15/43	Baa3/BBB	5,983,493
	Commonwealth Highway & Transportation Auth. Rev.,	5443,555	3,303,133
2,555	5.25%, 7/1/38, Ser. D, (Pre-refunded @ \$100, 7/1/12) (a)	Baa3/AAA	1,619,580
750	Electric Power Auth., Power Rev., 5.125%, 7/1/29, Ser. NN	A3/BBB+	796,680
		,	8,399,753
			5,555,155
	Total Other Municipal Bonds & Notes (cost□\$15,695,851)		17,302,258
	, , , , , , , , , , , , , , , , , , , ,		, , , , , , , , , , , , , , , , , , , ,
NEW YOR	K VARIABLE RATE NOTES (b)(c)(d)□2.8%		
	Long Island Power Auth. Electric System Rev.,		
	10.69%, 12/1/26, Ser. 339 (MBIA-IBC)	Aaa/NR	6,432,571
1,300	State Urban Dev. Corp. Rev., 9.737%, 3/15/35	NR/AAA	1,728,675
	Total New York Variable Rate Notes (cost□\$7,025,099)		8,161,246
OTHER VA	ARIABLE RATE NOTES (d) 0.7%		
	Puerto Rico  0.7%		
1,900	Public Finance Corp. Rev., 5.75%, 8/1/27, Ser. A (cost□\$2,005,436)	Ba1/BBB-	2,046,699
NEW YOR	K VARIABLE RATE DEMAND NOTES (d)(e)[1.3%		
	Long Island Power Auth. Electric System Rev., 3.61%, 3/1/07, Ser. 1B	VMIG1/A-1+	2,900,000
300	New York City, GO, 3.63%, 3/1/07, Ser. B (MBIA)	VMIG1/A-1+	300,000

600 New York City Transitional Finance Auth. Rev., 3.60%, 3/1/07, Ser. 3, VRN VMIG1/A-1+ 600,000

Total New York Variable Rate Demand Notes (cost□\$3,800,000) 3,800,000

**U.S. TREASURY BILLS** (f) **□ 0.4%** 

1,045 4.795%-4.805%, 3/15/07 (cost□\$1,043,051) 1,043,051

**Total Investments** (cost[\$270,784,548)[**100.0%** \$288,445,232

#### Notes to Schedule of Investments:

- \* Portfolio securities and other financial instruments for which market quotations are readily available are stated at market value. Portfolio securities and other financial instruments for which market quotations are not readily available or if a development/event occurs that may significantly impact the value of a security are fair-valued, in good faith, pursuant to guidelines established by the Board of Trustees. The Fund's investments are valued daily using prices supplied by an independent pricing service or dealer quotations, or are valued at the last sale price on the exchange that is the primary market for such securities, or the quoted mean price for those securities for which the over-the-counter market is the primary market or for listed securities in which there were no sales. Independent pricing services use information provided by market makers or estimates of market values obtained from yield data relating to investments or securities with similar characteristics. Exchange traded options and futures are valued at the settlement price determined by the relevant exchange. Short-term securities maturing in 60 days or less are valued at amortized cost, if their original term to maturity was 60 days or less, or by amortizing their value on the 61st day prior to maturity, if the original term to maturity exceeded 60 days. The prices used by the Fund to value securities may differ from the value that would be realized if the securities were sold. The Fund's net asset value is determined daily as of the close of regular trading (normally, 4:00 p.m. Eastern time) on the New York Stock Exchange ("NYSE") on each day the NYSE is open for business.
- (a) Pre-refunded bonds are collateralized by U.S. Government or other eligible securities which are held in escrow and used to pay principal and interest and retire the bonds at the earliest refunding date (payment date).
- (b) 144A Security Security exempt from registration, under Rule 144A of the Securities Act of 1933. These securities may be resold in transactions exempt from registration, typically only to qualified institutional buyers. Unless otherwise indicated, these securities are not considered to be illiquid.
- (c) Inverse Floaters The interest rate shown bears an inverse relationship to the interest rate on another security or the value of an index.
- (d) Variable Rate Notes instruments whose interest rates change on specified date (such as a coupon date or interest payment date) and/or whose interest rates vary with changes in a designated base rate (such as the prime interest rate). The interest rate disclosed reflects the rate in effect on February 28, 2007.
- (e) Maturity date shown is date of next put.
- (f) All or partial amount segregated as collateral for futures contracts.
- (g) Residual Interest Bonds held in trust represent underlying bonds transferred to a separate securitization trust established in a tender option bond transaction in which the Fund acquired the residual interest certificates. These securities serve as collateral in a financing transaction.

#### **Glossary:**

AMBAC - insured by American Municipal Bond Assurance Corp.

FGIC - insured by Financial Guaranty Insurance Co.

FHA - insured by Federal Housing Administration

FSA - insured by Financial Security Assurance, Inc.

GNMA - insured by Government National Mortgage Association

GO - General Obligation Bond

IBC - Insurance Bond Certificate

MBIA - insured by Municipal Bond Investors Assurance

NR - Not Rated

Radian - insured by Radian Guaranty, Inc.

TCRS - Temporary Custodian Receipts

### Other Investments:

(1) Futures contracts outstanding at February 28, 2007:

		Unrealized		
		Value	Expiration	Appreciation
Туре	Contracts	(000)	Date	(Depreciation)
Long: U.S. Treasury Notes 5 yr. Futures	189	\$20,025	6/29/07	\$131,133
Short:				
U.S. Treasury Bond Futures	(65)	(7,345)	3/21/07	39,610
U.S. Treasury Bond Futures	(303)	(34,220)	6/30/07	4,734

U.S. Treasury Notes 10 yr. Futures (34) (3,692) 6/20/07 (19,125) \$156,352

#### Item 2. Controls and Procedures

(a) The registrant's President and Chief Executive Officer and Principal Financial Officer have concluded that the registrant's disclosure controls and procedures (as defined in Rule 30a-2(c) under the Investment Company Act of 1940, as amended are effective based on their evaluation of these controls and procedures as of a date within 90 days of the filing date of this document.

Prior to reaching this conclusion, the principal officers had become aware of matters relating to the Registrant's participation in certain inverse floater structures that required enhancements to certain controls. The Registrant's management determined that controls relating to the review and analysis of relevant terms and conditions of certain transfers of securities under the provisions of Statement of Financial Accounting Standards No. 140 [Accounting for Transfers and Servicing of Financial Assets and Extinguishments of Liabilities] ([SFAS 140]) were not effective.

The Registrant s Management has taken such further actions as are necessary to revise its disclosure controls and procedures in order to increase the effectiveness of these controls with respect to the accounting treatment of transfers of certain inverse floater transactions. However, as discussed above, the registrant enhanced controls related to the accounting treatment of transfers of certain inverse floater transactions.

(b) In December 2006, the principal executive and financial officers became aware of matters relating to the Registrant□s purchase of certain inverse floating rate obligations that required enhancements to certain controls. The Registrant□s management determined that controls relating to the review and analysis of the relevant contractual terms and conditions of transfers of securities in connection with the purchase of certain inverse floating rate obligations were not effective in identifying whether these transfers qualified for sale accounting under the provisions of SFAS 140. The Registrant□s management has taken such further actions as are necessary to revise its controls and procedures in order to increase the effectiveness of these controls and procedures in identifying such transactions that require accounting treatment under SFAS 140.

### Item 3. Exhibits

(a) Exhibit 99.CERT ☐ Certification pursuant to Section 302 of the Sarbanes-Oxley Act of 2002

### **SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934 and the Investment Company Act of 1940, the registrant has duly caused this report to be signed on its behalf by the undersigned, thereunto duly authorized.

Registrant: PIMCO New York Municipal Income Fund II

By /s/ Brian S. Shlissel President & Chief Executive Officer

Date: April 27, 2007

By /s/ Lawrence G. Altadonna Treasurer, Principal Financial & Accounting Officer

Date: April 27, 2007

Pursuant to the requirements of the Securities Exchange Act of 1934 and the Investment Company Act of 1940, this report has been signed below by the following persons on behalf of the registrant and in the capacities and on the dated indicated.

By /s/ Brian S. Shlissel President & Chief Executive Officer

Date: April 27, 2007

By /s/ Lawrence G. Altadonna Treasurer, Principal Financial & Accounting Officer

Date: April 27, 2007