

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Carney, Cormac J.	2. Court or Organization District Court - Central District of California	3. Date of Report 04/18/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address Ronald Reagan Federal Building 411 West Fourth Street Santa Ana, CA 92701-4516		
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.	Co-Trustee	Family Trust #1
2.	Power of Attorney	Family Member
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	University of California, Irvine - salary
2. 2018	University of California Retirement Plan
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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. Wells Fargo Bank Accounts	A	Interest	M	T					
2. Vanguard Wellington Fund	D	Dividend	L	T					
3. Vanguard Health Fund	C	Dividend	K	T					
4. Janus Forty Fund	D	Dividend	L	T					
5. American Century - Ultra	E	Dividend	M	T					
6. County Deferred Comp. Plan (H)									
7. -Stable Value Fund	A	Dividend	J	T					
8. -Loomis Sayles Cove Plus Bond N	A	Dividend	J	T					
9. IRA Brokerage (H)									
10. -Pimco INCM - PONDY	A	Dividend	L	T					
11. -Prudential High Yield Fund - PHYZX (X)	A	Dividend	K	T					
12. -Schwab Money Market Fund	A	Interest	J	T					
13. -COST	A	Dividend	K	T					
14. -Clipper Fund - CFIMX	D	Dividend	K	T					
15. -HD	A	Dividend	J	T					
16. -MRK	A	Dividend	J	T					
17. -BRKB	A	Dividend	J	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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. -TGT	A	Dividend	J	T					
19. -P&G	A	Dividend	J	T					
20. -AAPL	A	Dividend	K	T					
21. -Meridian Growth Fund - MERDX	A	Dividend	L	T					
22. -Schwab 1000 Index Fund - SNXSX	C	Dividend	M	T					
23. -Schwab Intl Index Fund - SWINX	C	Dividend	K	T					
24. -Tweedy Browne Global Value Fund - TBGVX	D	Dividend	L	T					
25. -Vanguard Small Cap Index Fund - NAESX	D	Dividend	L	T					
26. -SPYG	A	Dividend	J	T					
27. 401(k) (H)									
28. -Dodge and Cox Stock	B	Dividend	K	T					
29. -American Funds Target 2025	A	Dividend	K	T					
30. -Metro West Total Return	A	Dividend	J	T					
31. Brokerage Account (H)									
32. -American Funds - Balanced	B	Dividend	K	T					
33. -Capital Income Bldr FD - CIBCX	A	Dividend	J	T					
34. -American Funds - Growth Fund	D	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
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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)

35. -Investco Small Cap Value	A	Dividend	J	T					
36. -Washington Mutual Investors Fund - WSHCX	B	Dividend	K	T					
37. -American Funds - New Perspective Fund	B	Dividend	L	T					
38. -Putnam CA Tax Exempt Income FD - CLA	A	Dividend	L	T					
39. IRA Rollover (H)									
40. -Growth FD Amer Inc - GFACX	B	Dividend	J	T					
41. -Franklin Rising Dividends - FRDPX	B	Dividend	J	T					
42. -Allianz NFJ Small Cap - PCVAX	B	Dividend	J	T					
43. -Capital World Growth & Income - CWGAX	B	Dividend	J	T					
44. -Pimco Total Return - PTTAX	A	Dividend	J	T					
45. -Amer Blanced Fund - BALCX	B	Dividend	J	T					
46. -Investco Global Core Eq Fund	A	Dividend	J	T					
47. Variable Life Insurance (H)									
48. -NW Mutual - Mid Cap Grth Stock	B	Dividend			Sold	11/02/18	K	A	
49. -NW Mutual Growth Stock Fund	C	Dividend			Sold	11/02/18	L	A	
50. -NW Mutual Index 400 Stock Fund	B	Dividend	K	T					
51. -NW Mutual Small Cap Growth Fund	B	Dividend			Sold	11/02/18	K	A	

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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)
52. -Russell Non-US Fund	B	Dividend			Sold	11/02/18	K	A	
53. -Russell Real Estate Securities Fund	B	Dividend	K	T					
54. -T Rowe Price Small Cap Value	B	Dividend			Sold	11/02/18	K	A	
55. -Delaware Mgmt Domestic Equity	D	Dividend			Sold	11/02/18	L	A	
56. -Wells Capital Mgmt (X)	A	Dividend	L	T	Buy	11/02/18	L		
57. -Index 500 (X)	A	Dividend	L	T	Buy	11/02/18	L		
58. -International Growth (X)	A	Dividend	L	T	Buy	11/02/18	L		
59. -Fidelity VIP Contrafund (X)	A	Dividend	L	T	Buy	11/02/18	L		
60. -Index 600 (X)	A	Dividend	J	T	Buy	11/02/18	J		
61. -Research International Core (X)	A	Dividend	K	T	Buy	11/02/18	K		
62. -Aberdeen Emerging Markets Equity (X)	A	Dividend	K	T	Buy	11/02/18	K		
63. -Pimco MultiSector Bond (X)	A	Dividend	K	T	Buy	11/02/18	K		
64. Inherited IRA (H)									
65. -JPM	A	Dividend	L	T					
66. -FDFFX	A	Dividend	K	T	Sold (part)	11/28/18	J	A	
67. -PRPFX	A	Dividend	L	T	Sold (part)	11/28/18	J	A	
68. -FDRXX	A	Interest	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$500,000 G = \$500,001 - \$1,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$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	P3 = \$25,000,001 - \$50,000,000 P4 = More than \$50,000,000
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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)
69. -FSCRX	B	Dividend	K	T	Sold (part)	11/28/18	J	A	
70. Retirement Savings Program (H)									
71. -UC Domestic Equity Index Fund	A	Dividend	K	T					
72. -UC International Equity Index Fund	A	Dividend	J	T					
73. -UC Domestic Sm Cap Eq	A	Dividend	K	T					
74. -UC Bond Fund	A	Dividend	K	T					
75. -UC Pathway 2060	A	Dividend	J	T					
76. Family Trust # 1 (H)									
77. -Wells Fargo Accounts (X)	A	Interest	N	T					
78. -Bank of America Account (X)	A	Interest	L	T					
79. -Fundamental Investors (ANCFX) (X)	A	Dividend	M	T					
80. -Guggenheim Styleplus LG Core (SECEX) (X)	A	Dividend	N	T					
81. -SPDR S&P MidCap 400 (MDX) (X)	B	Dividend	K	T					
82. -Northern Fds Small Cap Index (INSIDX) (X)	A	Dividend	K	T					
83. -Northern Fds Equity Index (NOINX) (X)	D	Dividend	M	T					
84. -DFA Inv Dimensions Emerg Mkts (DFCEX) (X)	A	Dividend	J	T					
85. -Northern Fds Ultra Short Fixed Inc (NUSFX) (X)	D	Int./Div.	O	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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)
86. -Northern Fds Bond Index (NOBOX) (X)	A	Int./Div.	L	T					
87. -Northern High Yield Fixed Income (NHFIX) (X)	B	Int./Div.	L	T					
88. -Shell Intl B (RDSALN) (X)	A	Dividend	K	T					
89. -Flexshares Index Target Duration (TDTT) (X)	B	Dividend	M	T					
90. -Northern Fds Global Real Estate (NGREX) (X)	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
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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting	Date of Report
Carney, Cormac J.	04/18/2019

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

1. Part VII: Item 38: On April 10, 2018, Putnam CA Tax Exempt Income Fund Class C was converted to Putnam CA Tax Exempt Income Fund Class A.
2. Part VII: Item 41: On October 23, 2018, Franklin Rising Dividends Fund Class C was converted to Franklin Rising Dividends Fund Class A.
3. Part VII: Item 42: On October 10, 2018, Allianz NFJ Small Cap Fund Class C was converted to Allianz NFJ Small Cap Fund Class A.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/18/2019

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/ Cormac J. Carney

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