

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Dembin, Mitchell D.	2. Court or Organization District Court - San Diego	3. Date of Report 09/14/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 333 W. Broadway Room 1180 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. Member - Board of Directors	ESET Foundation d/b/a Securing our eCity Foundation
2. Sole Member	Silver Lining Music, LLC
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

Dembin, Mitchell D.

Date of Report

09/14/2014

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. 2013	Thomas Jefferson School of Law - Salary
2. 2013	Self-employed attorney
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. Colorado Ass'n of Litigation Support Professionals	10/10/13 - 10/12/13	Denver, CO	E-Discovery Presentation	Lodging Only
2. Carmel Valley eDiscovery Retreat	5/1/13 - 5/4/13	Half Moon Bay, CA	E-Discovery Presentation	Lodging Only
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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.	Bank of America	Credit Card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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. NML Mutual Fund - jms ira									
2. - Bond Fund of America	A	Interest	J	T					
3. - Capital World Growth Fund	A	Interest	J	T					
4. - Growth Fund of America	A	Interest	J	T					
5. - Income Fund of America - Class A	A	Interest	K	T					
6. - Income Fund of America - Class B	A	Interest			Sold	4/11/13	J	A	
7. NML Mutual Fund - mdd - ira									
8. - Money Market Fund - Class B	A	Interest	J	T					
9. - Allianz NFJ Dividend Value Fund	A	Interest	K	T	Sold (part)	9/24/13	J		
10. - American Century Div. Bond Fund	A	Interest	K	T	Buy (add'l)	09/24/13	J		
11. - Brown Cap. Mgmt. Small		None	J	T	Buy	09/24/13	J		
12. - Columbia Acorn Int'l Fund	A	Interest	J	T	Sold (part)	09/24/13	J	A	
13. - Credit Suisse Commodity Return Fund		None			Sold	09/24/13	K		
14. - Delaware Emerging Mkts Fund		None	J	T	Buy	09/26/13	J		
15. - Dodge & Cox Income Fund	A	Interest	K	T	Buy (add'l)	09/24/13	J		
16. - Eagle Small Cap. Growth A Fund		None			Sold	09/26/13	J	C	
17. - Fidelity Advisor Mid-cap II Fund	A	Interest	J	T	Sold (part)	09/26/13	J	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
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	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 5 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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. - Fidelity Advisor New Insights Fund	A	Interest	L	T	Sold (part)	09/26/13	J	A	
19. - Harbor Bond Fund Institutional Fund	A	Interest	J	T	Buy (add'l)	09/24/13	J		
20. - Harbor Real Return Fund	A	Interest	J	T	Buy (add'l)	09/24/13	J		
21. -Hartford High Yield Fund Class A		None			Sold	09/24/13	J	A	
22. - John Hancock Disciplined Fund		None	J	T	Buy	09/24/13	J		
23. -Northern Small Cap Value Fund	A	Interest	J	T	Sold (part)	09/24/13	J	A	
24. - Oakmark International Fund	A	Interest	J	T	Sold (part)	09/24/13	J	B	
25. - Perkins Midcap Value Fund	A	Interest	J	T	Sold (part)	09/24/13	J	B	
26. - Pimco Commodities Strategy Fund A	A	Interest	K	T	Buy	09/24/13	K		
27. -Pimco Income Fund Class A	B	Interest	K	T	Buy (add'l)	09/24/13	J		
28. - Principal High Yield Fund A	A	Interest	J	T	Buy	09/24/13	J		
29. - MFS Value Fund - Class I	A	Interest	K	T	Sold (part)	9/24/13	J	B	
30. - MFS Int'l Growth Fund - Class I	A	Interest	K	T	Sold (part)	9/24/13	J	A	
31. - T Rowe Price Emerging Markets Fund		None			Sold	9/24/13	K	A	
32. - T Rowe Price Real Estate Fund	A	Interest	K	T	Buy (add'l)	9/24/13	J		
33. - Scout International Fund	A	Interest	K	T	Sold (part)	09/24/13	J	A	
34. - Templeton Global Bond Fund - Class A	A	Interest	J	T	Buy (add'l)	09/24/13	J		

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

Dembin, Mitchell D.

Date of Report

09/14/2014

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. - Vanguard GNMA Fund		None			Sold	09/24/13	J		
36. -Vanguard Short-Term Investment Grade A	A	Interest	K	T	Buy (add'l)	09/24/13	J		
37. Cabrillo Federal Credit Union	A	Interest	K	T					
38. Wells Fargo Bank - POA for Parents - see part I line 2	A	Interest			Closed	09/28/13	M		
39. Wells Fargo Bank - Joint	A	Interest	M	T	Open	09/28/13	M		
40. Wells Fargo Bank - Silver Lining		None	J	T	Open	12/28/13	J		
41. NML Whole Life - jms	A	Dividend	K	T					
42. NML Variable Life - jms									
43. - International Equity Fund	A	Dividend	J	T					
44. - Index 500 Stock Fund	B	Dividend	K	T					
45. - Midcap Growth Fund	A	Dividend	J	T					
46. - Growth Stock Fund	A	Dividend	J	T					
47. - Large Cap Core Fund	A	Dividend	J	T					
48. NML Whole Life - mdd	C	Dividend	L	T					
49. NML Variable Life - mdd #1									
50. - International Equity Fund	A	Dividend	J	T					
51. - Index 500 Stock Fund	A	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 7 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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. - Midcap Growth Fund	A	Dividend	J	T					
53. - Growth Stock Fund	A	Dividend	J	T					
54. - Large Cap. Core Fund	A	Dividend	J	T					
55. NML Variable Life - mdd #2									
56. - International Equity Fund	A	Dividend	J	T					
57. - Index 500 Stock Fund	A	Dividend	J	T					
58. - Midcap Growth Fund	A	Dividend	J	T					
59. - Growth Stock Fund	A	Dividend	J	T					
60. - Large Cap. Core Fund	A	Dividend	J	T					
61. NML SEP jms									
62. - Bond Fund of America A	A	Interest	J	T					
63. - Capital World Growth A	A	Interest	J	T					
64. - Growth Fund of America A	A	Interest	J	T					
65. - Income Fund of America A	A	Interest	J	T					
66. Luminore Private Stock (X)	A	Dividend	J	U					
67. NML Brokerage - mdd									
68. -Money Market Fund Class B	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 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 8 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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. - American Century Intermediate A	A	Interest	J	T	Buy	09/24/13	J		
70. -Columbia Acorn Int'l Fund	A	Interest	J	T					
71. -Credit Suisse Commodity Return		None			Sold	09/23/13	J		
72. -Dodge & Cox Int'l Fund	A	Interest	J	T	Sold (part)	09/23/13	J	A	
73. - Fidelity Advisory Intermediate Muni	A	Interest	J	T	Buy	09/26/13	J		
74. - fidelity Advisor Ltd. Term	A	Interest	J	T	Buy	09/26/13	J		
75. -Fidelity Advisor Midcap II Fund	A	Interest	J	T	Sold (part)	09/23/13	J	A	
76. -Fidelity Advisor New Insights Fund		None	K	T	Sold (part)	09/23/13	J	A	
77. -Franklin Federal Inter Term Tax-free	A	Interest	J	T	Sold (part)	09/23/13	K		
78. - John Hancock Disciplined Value		None	J	T	Buy	09/24/13	J		
79. - Pimco Commodities Plus Strategies	A	Interest	J	T	Buy	09/24/13	J		
80. -Perkins Midcap Value Fund		None			Sold	09/23/13	J	A	
81. -JP Morgan Emerging Markets Fund	A	Interest	J	T					
82. -MFS Int'l Growth Fund	A	Interest	J	T					
83. -MFS Value Fund	A	Interest	K	T	Sold (part)	09/23/13	J	A	
84. -Northern Small Cap Value Fund	A	Interest	J	T	Sold (part)	09/23/13	J	A	
85. -T Rowe Price Tax-free High Yield	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 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

Dembin, Mitchell D.

Date of Report

09/14/2014

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. -T Rowe Price Emerging Markets	A	Interest	J	T					
87. -T Rowe Price Real Estate	A	Interest	J	T					
88. -Scout Int'l Fund	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 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

Dembin, Mitchell D.

Date of Report

09/14/2014

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

Investments and Trusts, Lines 29 and 30. Corrected Class of stock from Class W to Class I.

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

09/14/2014

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/ **Mitchell D. Dembin**

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