

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) Bencivengo, Cathy A.	2. Court or Organization US District Court, California	3. Date of Report 05/09/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge, active	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 U.S. Courthouse 221 West Broadway San Diego, California 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. President	J. Clifford Wallace, American Inn of Court
2. Member of Board of Governors	San Diego Chapter of the Association of Business Trial Lawyers
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 9

Name of Person Reporting

Bencivengo, Cathy A.

Date of Report

05/09/2014

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	Thermo Fisher Scientific - Salary & Commission
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Circuit Bar Association	October 7-9, 2013	Washington DC	Participate as a Judicial Panelist at Global Fellows Patent Law Conference	air and local transportation, parking and lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Bencivengo, Cathy A.

Date of Report

05/09/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Bencivengo, Cathy A.

Date of Report

05/09/2014

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. IRA #2 (Edward Jones)	E	Dividend	O	T					
2. -- Edward Jones Cash Reserves									
3. -- Columbia Small Cap Value II					Sold (part)	08/22/13	J		
4. --Dodge & Cox Income Fund					Buy (add'l)	08/22/13	J		
5. -- Dodge & Cox Stock Fund					Sold (part)	08/22/13	J		
6. -- Fundamental Investors Fund					Sold (part)	08/22/13	J		
7. -- Hartford Cap Appreciation Fund					Sold	05/13/13	K		
8. -- Hotchkis & Wiley Mid Cap Val I					Sold (part)	08/22/13	J		
9. -- JPMorgan Core Bond Fund Select					Buy (add'l)	06/18/13	J		
10.					Buy (add'l)	08/13/13	J		
11.					Buy (add'l)	08/22/13	J		
12.					Buy (add'l)	12/10/13	J		
13. -- Lomis Sayles Invst Grade Bd					Buy (add'l)	08/22/13	J		
14. -- MFS Value Fund					Sold (part)	08/22/13	J		
15.					Buy (add'l)	10/17/13	J		
16. -- Munder Mid Cap Core Growth					Sold (part)	08/22/13	J		
17. -- Mutual Global Discovery Fund					Sold (part)	08/22/13	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 H = \$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 5 of 9

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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 I (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. -- Oppenheimer Intl Growth Fund					Sold (part)	08/22/13	J		
19. -- Invesco Comstock Fund					Sold (part)	08/22/13	J		
20. -- JPM Fed Money Market Inst Cl					Buy (add'l)	08/22/13	J		
21. -- Artisan Intl Value Fund					Sold (part)	08/22/13	J		
22. -- Alger Small/Mid Cap Growth					Sold (part)	08/22/13	J		
23. -- Europacific Growth Fund					Sold (part)	08/22/13	J		
24. -- T.Rowe Price Intl Discovery					Sold (part)	08/22/13	J		
25. -- Harbor Capital Appreciation					Buy (add'l)	08/22/13	J		
26. -- Rainer Mid Cap Equity					Sold (part)	08/22/13	J		
27. -- Delaware US Growth					Buy (add'l)	08/22/13	J		
28. -- T.Rowe Price Int Lrge Cp Gr					Buy	05/13/13	K		
29.					Sold (part)	08/22/13	J		
30. 401K #2 (Thermo Fisher)	E	Dividend	O	T					
31. -- Dodge & Cox Stock									
32. -- T. Rowe Price Retirement 2040 Fund					Sold	07/26/13	M		
33. -- Thermo Fisher Scientific Inc.									
34. -- Pimco Total Return Instl									

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	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Bencivengo, Cathy A.

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35. -- Dodge & Cox Intl Stock					Buy	07/26/13	M		
36. -- SSGA S&P 500 Index CL C					Buy	07/26/13	J		
37. Brokerage Acct. #2									
38. -- Fundamental Investors	A	Dividend	K	T					
39. -- New World Growth Fund of America	A	Dividend	L	T					
40. -- U.S. Govt. Securities Fund	A	Dividend	J	T	Distributed (part)	07/23/13	K		
41. Palomar Pomerado Health Muni Bonds		None	K	T					
42. Temple City California Unifed School District Muni Bonds		None	K	T	Buy	07/26/13	K		
43. Money Market Charles Schwab	A	Interest	L	T					
44. Brokerage Acct. #4 (Schwab)									
45. --Columbia Seligman Comm & Info Fund	A	Dividend	J	T					
46. -- Matthews Asian Growth & Inc Fund	A	Dividend	J	T					
47. -- Munder Index 500 Fund	B	Dividend	K	T					
48. --Oakmark Equity Income Fund	A	Dividend	J	T					
49. -- Parnassus Equity Income	A	Dividend	J	T					
50. -- Permanent Portfolio	A	Dividend	J	T					
51. -- Reynolds Blue Chip	A	Dividend	K	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Bencivengo, Cathy A.

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05/09/2014

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52. -- Yacktman Focused Fund	A	Dividend	K	T					
53. IRA #1	A	Dividend	J	T					
54. -- JDS Uniphase Corp. Common Stock									
55. -- Fidelity Intl Discovery Mutual Fund									
56. IRA #3 (Schwab)	A	Dividend	K	T					
57. -- Deposit Account/Cash Reserves									
58. -- Parnassus Equity Income									
59.									
60.									

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Bencivengo, Cathy A.

Date of Report

05/09/2014

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Bencivengo, Cathy A.

Date of Report

05/09/2014

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/ Cathy A. Bencivengo**

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
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One Columbus Circle, N.E.
Washington, D.C. 20544