

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) BATTAGLIA, ANTHONY	2. Court or Organization US DISTRICT COURT	3. Date of Report 04/16/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States District Court 940 Front Street, Room 2125 San Diego, CA 92101-8927		
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. Insert signature on last page.		

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. Trustee	Pension & Profit Sharing Trust
2. Trustee	Trust 1 (has no reportable assets)
3. Trustee	Trust 2
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.	

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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. 2011	Self employed, Attorney
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.				
2.				
3.				
4.				
5.				

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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.		
2.		
3.		
4.		
5.		

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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 I (A-I)	(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 I (A-I)	(5) Identity of buyer/seller (if private transaction)
1. T Rowe Price Equity Inc Fund (Pension Plan)	C	Dividend	M	T					
2. Vanguard GNMA Fund (Pension Plan)	A	Dividend	K	T	Redeemed	02/10/11	K	A	See VIII
3. Vanguard High Yield Fund (Pension Plan)	B	Dividend	K	T					
4. Vanguard Star Fund (Profit Sharing Plan)	C	Dividend	M	T					
5. Vanguard Prime Fund (Profit Sharing)	A	Dividend	K	T	Redeemed (part)	01/18/11	K	A	See VIII
6. T. Rowe Price High Yield Fund (Profit Sharing)	B	Dividend	K	T					
7. Vanguard GNMA Fund (Profit Sharing)	C	Dividend	L	T	Buy	02/10/11	K		See VIII
8. T. Rowe Price Spectrum Growth Fund (Profit Sharing)	A	Dividend	L	T					
9. Law Office Close Corp. Stock		None	J	W					
10. Hennessy Fund (Tamarack Babson Value Fund)(Pension Fund)	A	Dividend	L	T					
11. Proctor & Gamble Common Stock	A	Dividend	J	T					
12. T. Rowe Price Equity Inc. Fund	A	Dividend	J	T	Redeemed	01/11/11	J	A	See VIII
13. Vanguard Index 500 Fund (Profit Sharing Plan)	A	Dividend	K	T					
14. Vanguard Money Market	A	Dividend	J	T					
15. T. Rowe Price Equity Income Fund (Trust #2)	A	Dividend	J	T	Redeemed (part)	12/28/11	K	A	See VIII
16. Vanguard Health Care Fund (Profit Sharing)	D	Dividend	M	T					
17. Artisan Mid Cap Fund (Profit Sharing Plan)	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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-I)	(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-I)	(5) Identity of buyer/seller (if private transaction)
18. Vanguard Inflation Protected Securities	C	Dividend	M	T					
19. Vanguard GNMA Fund-IRA	A	Dividend	K	T					
20. Sempra Energy	A	Dividend	J	T					
21. Vanguard 500 Index IRA	A	Dividend	K	T					
22. Vanguard Midcap IRA	A	Dividend	J	T					
23. Vanguard Total Bond	B	Dividend	L	T					
24. Vanguard Small Cap IRA	A	Dividend	J	T					
25. Vanguard International	A	Dividend	K	T					
26. Vanguard Total Bond (Profit Sharing Plan)	A	Dividend	J	T	Buy	04/08/11	J	A	See VIII

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
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U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
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S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

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

Part VII.

#2 Redeemed and transferred in full into #7

#5 Redemption 1/18/11 for participant distribution. Redeemed 4/8/11 to transfer to asset #26, value code J, gain code A. Also purchased 1/31/11 for pension contribution - value code K on this transaction.

#7 Funds from #2 transferred into this fund

#12 Redeemed to pay education loan

#15 Partial redemption for benefit of beneficiary

#26 Purchase with redemption from Asset #5

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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/ ANTHONY BATTAGLIA**

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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