

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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) Mendez, John A.	2. Court or Organization District Court, Eastern District of California	3. Date of Report 03/20/2009
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2008 to 12/31/2008
7. Chambers or Office Address U.S. District Court, E.D. California 501 I Street, 14th Floor Sacramento, CA 95814	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee/Conservator	Trust #1(no assets)
2. Trustee	Estate #1
3.	
4.	
5.	

RECEIVED
 2009 MAR 26 A 11:15
 FINANCIAL
 DISCLOSURE OFFICE

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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. 2008	State of California, Sacramento County Superior Court Judge	\$39,000.00
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. 2008	Sacramento County Department of Health and Human Services-salary
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. FINANCIAL MANAGEMENT/BROKER AGE ACCOUNT SMITH BARNEY									
2. -Cash/Money Market Fund, Smith Barney	D	Interest	K	T					
3. -Alcoa common stock	A	Dividend	J	T					
4. Countrywide mortgage and asset backed s ecurities	B	Interest	J	T					
5. -Legg Mason Partners Mutual Funds	A	Int./Div.	K	T					
6. General Motors Acceptance Corp. corporate bond	A	Interest	K	T					
7. Federal Home Loan Mtg. Corp gov't bond	A	Interest			Sold	12/31	K	A	
8. Federal Home Loan Mtg. Medium Term N otes gov't bond	A	Interest			Sold	1/14	K	A	
9. TRAK Smith Barney Mutual Funds	B	Dividend	K	T					
10.									
11. IRA #1									
12. -Cash, Smith Barney	D	Interest	O	T					
13. -Alcoa common stock					Sold	3/4	J	B	
14. Abbott Laboratories common stock		None			Sold	3/4	J	B	
15. Anheuser Busch Companies common stock		None			Sold	3/4	J	A	
16. Bank of America common stock		None			Sold	3/4	J	A	
17. Baxter Intl Inc. common stock		None			Sold	3/4	J	A	

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

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

3. Value Method Codes
(See Column C2)

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Chevron Corp. common stock		None			Sold	3/4	J	C	
19. Chubb Corp. common stock		None			Sold	3/4	J	C	
20. Dover Corp common stock		None			Buy (add'l)	1/10	J		
21.					Sold	3/4	J	A	
22. Dow Chemical Co. common stock		None			Sold	3/4	J	A	
23. El Dupont de Nemours & Co. common stock		None			Sold	3/4	J	A	
24. Emerson Electric Co. common stock		None			Sold	3/4	J	C	
25. Exxon Mobil Corp. common stock		None			Sold	3/4	J	C	
26. GAP Inc. common stock		None			Sold	3/4	J	A	
27. General Electric common stock		None			Sold	3/4	J	A	
28. Glaxosmith Kline PLC common stock		None			Sold	3/4	J	A	
29. Honeywell Intl Inc. common stock		None			Sold	3/4	J	C	
30. Hubbell Inc Class B common stock		None			Sold	3/4	J	A	
31. JP Morgan Chase & Co. common stock		None			Sold	3/4	J	A	
32. Johnson & Johnson common stock		None			Sold	3/4	J	A	
33. Kimberly Clark Corp common stock		None			Sold	3/4	J	B	
34. Kraft Foods Inc Class A common stock		None			Buy (add'l)	1/25	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$25,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Sold	3/4	J	A	
36. Leggett & Platt Inc. common stock		None			Sold	3/4	J	A	
37. Linear Technology Corp. common stock		None			Sold	3/4	J	A	
38. Microsoft Corp. common stock		None			Sold	3/4	J	A	
39. Motorola Inc DE common stock		None			Buy (add'l)	1/10	J		
40.					Sold	3/4	J	A	
41. News Corp Class B New common stock		None			Sold	3/4	J	A	
42. Novartis common stock		None			Buy (add'l)	2/20	J		
43.					Sold	3/4	J	A	
44. Pfizer Inc common stock		None			Sold	3/4	J	A	
45. Taiwan Semiconductor Mfg. Co. common stock		None			Sold	3/4	J	A	
46. Unilever PLC common stock		None			Sold	3/4	J	A	
47. Verizon Communications common stock		None			Sold	3/4	J	A	
48. Vodafone Group PLC common stock		None			Sold	3/4	J	B	
49. Wachovia Corp. common stock		None			Sold	3/4	J	A	
50. Weyerhaeuser Co. common stock		None			Sold	3/4	J	A	
51. Wyeth common stock		None			Sold	3/4	J	A	

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

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

3. Value Method Codes
(See Column C2)

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. US Treasury Notes Series D government bonds		None			Sold	1/25	K	A	
53. US Treasury Notes Series L government bonds		None			Sold	3/4	K	A	
54. Federal National Mtg Assoc. Global Debs BK/entry govt bond		None			Sold	3/4	J	A	
55. Federal Home Loan Mtg Corp Global Deb BK/Entry gov't bonds		None			Sold	3/4	K	B	
56. US Treasury Notes Series K-2008 gov't bonds		None			Buy	1/25	K		
57. US Treasury Notes Series K-2008 gov't bonds		None			Sold	3/4	K	A	
58. BP PLC Spons ADR common stock		None			Buy	2/8	J		
59. BP PLC Spons ADR common stock		None			Sold	3/4	J	A	
60. Annaly Capital Management Inc. common stock		None			Buy	1/24	J		
61. Annaly Capital Management Inc. common stock		None			Buy (add'l)	2/1	J		
62. Annaly Capital Management Inc. common stock		None			Sold	3/4	J	A	
63. LaSalle Hotel PPTYS SBI common stock		None			Buy	1/18	J		
64. La Salle Hotel PPTYS SBI common stock		None			Sold	3/4	J	A	
65. Microchip Technology Inc common stock		None			Sold	3/4	J	A	
66. Federal Home Loan Mtg Corp BK/Entry gov't bonds		None			Sold	3/4	J	A	
67.									
68. Estate #1(X)		None	N	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 8 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. -Real Estate, San Leandro, California									
70. Wells Fargo Bank checking account		None	J	T					
71.									
72.									

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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

Sale of Investments not appearing on Financial Disclosure Report--the following investments were listed on the Financial Disclosure Report (Nomination) that I filed on 9/7/2007 but do not appear on this Financial Disclosure Report because they were sold during the period from 9/1/07 to 12/31/07. The 9/7/2007 Nomination Financial Disclosure Report was for the reporting period from 1/1/2006 to 8/31/2007.

Nuveen Investments Inc. common stock
Pearson PLC Sponsored ADR common stock
Dreyfus Money Market and Liquid Assets Money Fund (cash equivalents)
Federal National Mortgage Association Global Debs government bonds
Federal Home Loan Mortgage Corp. Ref Note government bonds
U.S. Treasury Notes Series K-2012 government bonds

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Mendez, John A.

Date of Report

03/20/2009

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

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544