

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/24/2020
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 01/01/2019 to 12/31/2019
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/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 15

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/24/2020

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. 2019	University of California Retirement Plan
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.				

Name of Person Reporting	Date of Report
Carney, Cormac J.	04/24/2020

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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Wells Fargo Bank Accounts	D	Interest	N	T					
2. Vanguard Wellington Fund - VWENX	D	Dividend			Closed	10/08/19	L	A	
3. Vanguard Health Fund - VGHCX	B	Dividend			Closed	10/08/19	K	B	
4. Janus/Henderson Forty Fund - JACTX	D	Dividend			Closed	10/28/19	L	A	
5. American Century Ultra - TWCUX	B	Dividend			Closed	11/04/19	M	B	
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 # 1 (H)									
10. -Pimco INCM - PONDY	A	Dividend	M	T					
11. -Prudential High Yield Fund - PHYZY	A	Dividend	L	T					
12. -Schwab Money Market Fund	A	Interest			Sold	10/02/19	J		
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:

(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

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.)

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18. -TGT	A	Dividend	J	T					
19. -P&G	A	Dividend	J	T					
20. -AAPL	A	Dividend	L	T					
21. -Meridian Growth Fund - MERDX	A	Dividend	M	T					
22. -Schwab 1000 Index Fund - SNXFX	C	Dividend	M	T					
23. -Schwab Intl Index Fund - SWISX	C	Dividend	K	T					
24. -Tweedy Browne Global Value Fund - TBGVX	D	Dividend	L	T					
25. -Vanguard Small Cap Index Fund - VSMAX	D	Dividend	L	T					
26. -SPYG	A	Dividend	K	T					
27. -Allianz Small Cap - PCVAX	A	Dividend	J	T	Buy	10/02/19	J		
28. -American Balanced - BALFX	A	Dividend	J	T	Buy	10/02/19	J		
29. -American Capital World Growth - CWGFX	A	Dividend	J	T	Buy	10/02/19	J		
30. -Franklin Rising Dividends - FRDPX	A	Dividend	J	T	Buy	10/02/19	J		
31. -Growth Fd America - GFAFX	A	Dividend	J	T	Buy	10/02/19	J		
32. -Investco Global Core Equity - AWSAX	A	Dividend	J	T	Buy	10/02/19	J		
33. -Pimco Total Return - PTTAX	A	Dividend	J	T	Buy	10/02/19	J		
34. 401(k) (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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35. -Dodge and Cox Stock	B	Dividend			Sold	10/16/19	K		
36. -American Funds Target 2025	A	Dividend			Sold	10/16/19	K		
37. -Metro West Total Return	A	Dividend			Sold	10/16/19	J		
38. Brokerage Account (H)									
39. -American Funds Balanced - BALFX	B	Dividend	K	T					
40. -Capital Income Bldr FD - CIBCX	A	Dividend	J	T					
41. -American Funds Growth - GFAFX	D	Dividend	K	T					
42. -Investco Small Cap Value - VSCAX	A	Dividend			Sold	12/24/19	J		
43. -Washington Mutual Investors Fund - WSHFX	B	Dividend	J	T					
44. -American Funds New Perspective Fund - NPFFX	B	Dividend	K	T					
45. -Putnam CA Tax Exempt Income - PCTEX	A	Dividend			Sold	10/22/19	L		
46. -Vanguard Wellington - VWENX	D	Dividend	L	T	Open	10/08/19	L		
47. -Vanguard Healthcare - VGHGX	B	Dividend	K	T	Open	10/08/19	K		
48. -Janus/Henderson Forty - JACTX	D	Dividend	L	T	Open	10/28/19	L		
49. -Northern Equity Int Index - NOINX	A	Dividend	K	T	Buy	12/04/19	K		
50. -Northern Tax Adv Ultra Short - NTAUX	A	Dividend	N	T	Buy	12/04/19	N		
51. -Dimensions Emerging Mrkts - DFCEX	A	Dividend	J	T	Buy	12/04/19	J		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

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52. -Northern Cal Inter Tax-Exempt - NCITX	A	Dividend	L	T	Buy	12/26/19	L		
53. -Northern High Yield Fixed Inc - NHFIX	A	Dividend	K	T	Buy	12/26/19	K		
54. -Russell 2000 - IWM	A	Dividend	J	T	Buy	12/24/19	J		
55. -SPDR Midcap 400 - MDY	A	Dividend	J	T	Buy	12/24/19	J		
56. -American Century Ultra - TWCUX	B	Dividend	M	T	Open	11/04/19	M		
57. IRA Rollover (H)									
58. -Growth FD Amer Inc - GFACX	B	Dividend			Sold	10/01/19	J		
59. -Franklin Rising Dividends - FRDPX	B	Dividend			Sold	10/01/19	J		
60. -Allianz NFJ Small Cap - PCVAX	B	Dividend			Sold	10/01/19	J		
61. -Capital World Growth & Income - CWGAX	B	Dividend			Sold	10/01/19	J		
62. -Pimco Total Return - PTTAX	A	Dividend			Sold	10/01/19	J		
63. -Amer Blanced Fund - BALCX	B	Dividend			Sold	10/01/19	J		
64. -Investco Global Core Eq Fund	A	Dividend			Sold	10/01/19	J		
65. Variable Life Insurance (H)									
66. -NW Mutual Index 400 Stock Fund	B	Dividend	K	T					
67. -Russell Real Estate Securities Fund	B	Dividend	K	T					
68. -Wells Capital Mgmt	A	Dividend	L	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 15

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69. -NW Mutual Index 500	A	Dividend	L	T					
70. -NW Mutual International Growth	A	Dividend	L	T					
71. - Fidelity VIP Contrafund	A	Dividend	L	T					
72. -NW Mutual Index 600	A	Dividend	J	T					
73. -NW Mutual Research International Core	A	Dividend	K	T					
74. -Aberdeen Emerging Markets Equity	A	Dividend	K	T					
75. -Pimco MultiSector Bond	A	Dividend	K	T					
76. Inherited IRA # 1(H)									
77. -JPM	A	Dividend	L	T					
78. -FDFFX	A	Dividend	K	T					
79. -PRPFX	A	Dividend	L	T					
80. -FDRXX	A	Interest			Sold	10/01/19	K	C	
81. -FSCRX	B	Dividend	K	T					
82. Retirement Savings Program (H)									
83. -UC Domestic Equity Index Fund	A	Dividend			Sold	10/14/19	K	D	
84. -UC International Equity Index Fund	A	Dividend			Sold	10/14/19	J	A	
85. -UC Domestic Sm Cap Eq	A	Dividend			Sold	10/14/19	K	A	

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(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	
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3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 9 of 15

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86. -UC Bond Fund	A	Dividend			Sold	10/14/19	K	B	
87. -UC Pathway 2060	A	Dividend			Sold	10/14/19	J	B	
88. Family Trust # 1 (H)									
89. -Wells Fargo Account	A	Interest	L	T					
90. -Bank of America Account	A	Interest			Closed	07/05/19	L	A	
91. -Fundamental Investors (ANCFX)	A	Dividend			Sold	01/02/19	N		
92. -Guggenheim Styleplus LG Core (SECEX)	A	Dividend			Sold	05/31/19	N		
93. -SPDR S&P MidCap 400 (MDX)	B	Dividend			Sold	10/16/19	K	A	
94. -Northern Fds Small Cap Index (INSIDX)	A	Dividend			Sold	10/15/19	K		
95. -Northern Fds Equity Index (NOINX)	D	Dividend			Sold	10/15/19	M	C	
96. -DFA Invt Dimensions Emerg Mkts (DFCEX)	A	Dividend			Sold	10/15/19	J		
97. -Northern Fds Ultra Short Fixed Inc (NUSEFX)	D	Int./Div.			Sold	10/15/19	O	B	
98. -Northern Fds Bond Index (NOBOX)	A	Int./Div.			Sold	10/15/19	L	A	
99. -Northern High Yield Fixed Income (NHFIX)	B	Int./Div.			Sold	10/15/19	L	A	
100. -Shell Intl B (RDSALN)	A	Dividend			Sold	09/23/19	K		
101. -Flexshares Index Target Duration (TDTT)	B	Dividend			Sold	10/16/19	K	A	
102. -Northern Fds Global Real Estate (NGREX)	B	Dividend			Sold	10/15/19	M	A	

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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	
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103. Bank of Ireland		None			Closed	08/27/19	M		
104. Inherited IRA # 2 (H)									
105. -Abbott Labs - ABT		None			Sold	11/25/19	J		
106. -Abbvie - ABBY		None			Sold	11/25/19	J		
107. -Alphabet - GOOG		None			Sold	11/25/19	J		
108. -American Express - AXP		None			Sold	11/25/19	J		
109. -Apple - AAPL		None			Sold	11/25/19	J		
110. -Bristol Myers Squibb -BMY		None			Sold	11/25/19	J		
111. -Chevron - CVX		None			Sold	11/19/19	J		
112. -Cisco - CSCO		None			Sold	11/25/19	J		
113. -Citigroup -C		None			Sold	11/25/19	J		
114. -CocaCola - KO		None			Sold	11/25/19	J		
115. -Costco - COST		None			Sold	11/25/19	J		
116. -Eaton - ETN		None			Sold	11/25/19	J		
117. -EcoLab - ECL		None			Sold	11/25/19	J		
118. -Emerson Electric - EMR		None			Sold	11/25/19	J		
119. -Exxon Mobil - XOM		None			Sold	11/19/19	J		

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

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. -Home Depot - HD		None			Sold	11/25/19	J		
121. -Intel - INTC		None			Sold	11/25/19	J		
122. -Intercontinental Exchange - ICE		None			Sold	11/25/19	J		
123. -Johnson and Johnson - JNJ		None			Sold	11/19/19	J		
124. -JP Morgan - JPM		None			Sold	11/25/19	J		
125. -Merck - MRK		None			Sold	11/25/19	J		
126. -Target Duration Tips Index - TDTT (X)	A	Dividend	K	T					
127. -Morningstar Global - GUNR (X)	A	Dividend	J	T					
128. -MSCI Emerging Markets -EEM		Dividend			Sold	12/05/19	J		
129. -SPDR S&P Midcap 400 - MDY (X)	A	Dividend	J	T					
130. -Microsoft - MSFT		None			Sold	11/25/19	J		
131. -Modelez - MDLZ		None			Sold	11/25/19	J		
132. -Nike - NKE		None			Sold	11/25/19	J		
133. -Norfolk Southern - NSC		None			Sold	11/25/19	J		
134. -Pfizer - PFE		None			Sold	11/25/19	J		
135. -Schwab Common - SCHW		None			Sold	11/25/19	J		
136. -Walt Disney - DIS		None			Sold	11/25/19	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/24/2020

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. -Wells Fargo - WFC		None			Sold	11/25/19	J		
138. -Northern Intl Equity Index - NOINX (X)		None	K	T					
139.					Buy (add'l)	11/22/19	J		
140.					Buy (add'l)	12/04/19	K		
141. -Northern Global Real Estate - NGREX (X)		None	J	T					
142. -Northern Ultra Short Fixed Income - NUSFX (X)	A	Int./Div.	L	T					
143.					Buy (add'l)	12/04/19	J		
144. -Northern Bond Index - NOBOX (X)		None	K	T					
145. -Northern Emerging Markets Equity - NOEMX (X)	A	Dividend	J	T					
146. -Northern High Yield Fixed Income - NHFIX (X)		None	J	T					
147.					Sold (part)	11/22/19	K		
148. -Northern International Equity - NOIGX		None			Sold	11/22/19	J		
149. -SPDR S&P 500 - SPY	A	Dividend	L	T	Buy	11/27/19	L		
150. -Dimensions Emerying Markets - DFCEX	A	Dividend	J	T	Buy	12/04/19	J		
151. IRA # 2 (H)									
152. -Northern Equity Index Midcap - NOMIX		None	J	T	Buy	12/05/19	J		
153. -Northern Equity Intl Eqty - NOINX		None	K	T	Buy	12/05/19	K		

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3. Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/24/2020

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)
154. -Northern Global Real Estate - NGREX		None	J	T	Buy	12/05/19	J		
155.					Buy (add'l)	12/13/19	J		
156. -Northern Bond Index - NOBOX		None	L	T	Buy	12/05/19	L		
157. -Northern Emerging Markets - NOEMX		None	J	T	Buy	12/05/19	J		
158. -Northern Small Cap Index - NSIDX		None	J	T	Buy	12/05/19	J		
159. -Northern StockIndex - NOSIX		None	L	T	Buy	12/05/19	L		
160. -Northern High Yield Fixed Income - NHFIX		None	K	T	Buy	12/05/19	K		
161.					Buy (add'l)	12/13/19	J		
162. -DFA Intl Small Co - DFISX		None	J	T	Buy	12/05/19	J		
163. -Target Duration Tips - TDDT		None	J	T	Buy	12/06/19	J		
164. -Morningstar Global Res Index - GUNR		None	J	T	Buy	12/06/19	J		
165.					Sold (part)	12/13/19	J		
166. -Stoxx Global Broad Index - NFRA		None	J	T	Buy	12/06/19	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 14 of 15

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/24/2020

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

1. Part VII: Items 2 and 46: On October 8, 2019, the Vanguard Wellington Fund held as an individual account was transferred in-kind to Brokerage #1.
2. Part VII: Items 3 and 47: On October 8, 2019, the Vanguard Health Fund held as an individual account was transferred in-kind to Brokerage #1.
3. Part VII: Items 4 and 48: On October 28, 2019, the Janus Henderson Fund held as an individual account was transferred in-kind to Brokerage #1.
4. Part VII: Items 5 and 56: On November 4, 2019, the American Century Ultra Fund held as an individual account was transferred in-kind to Brokerage #1.
5. Part VII: Item 103: The Bank of Ireland account was closed when control passed upon death of account holder on June 8, 2019.
6. Part VII: Items 105 - 148: On October 29, 2019, these inherited assets were transferred in-kind.

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Carney, Cormac J.

Date of Report

04/24/2020

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
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