

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) Ferenbach, Vincent C.	2. Court or Organization U. S. District Court, Nevada	3. Date of Report 04/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. Magistrate Judge - Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address Lloyd D. George U. S. Courthouse 333 Las Vegas Boulevard South Room #3005 Las Vegas, NV 89101		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Trustee	Trust (Revocable Trust for Estate Planning Purposes, is co-trustee)
2. Trustee	Trust Under Will of 10/31/73, as modified
3.	
4.	
5.	

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 9

Name of Person Reporting

Ferenbach, Vincent C.

Date of Report

04/16/2020

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 01/01/2019	Legal Aid Center of Southern Nevada - Salary (employed full time)	
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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Ferenbach, Vincent C.	04/16/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Ferenbach, Vincent C.

Date of Report

04/16/2020

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)
1. Bank of America Checking/Money Market Accounts	A	Interest	L	T					
2. [REDACTED] Trust - U. S. Trust Account (H)									
3. Cash - U. S. Trust Account	A	Interest	K	T					
4. Columbia Dividend Income Fund Class Z Shares	A	Dividend	K	T					
5. Columbia Large Cap Growth Fund		None	K	T					
6. Touchstone Sands Cap Select Growth Fund		None	J	T	Sold (part)	01/14/19	J	A	
7. Columbia Mid Cap Index Fund Class Z Shares	A	Dividend	K	T	Buy (add'l)	01/14/19	J		
8. Clearbridge Small Cap Growth Fund CL Y		None	K	T					
9. Artisan International Fund	A	Dividend	K	T					
10. Ishares MSCI Emerging Markets ETF	A	Dividend	K	T					
11. Columbia Intermediate Municipal Bond Fund Class Z Shares	A	Interest	J	T					
12. Ishares Short Term Natl Amt-Free Muni Bond ETF	A	Interest	K	T	Buy	01/15/19	K		
13. Columbia High Yield Municipal FD Class Z Shares	A	Interest	J	T					
14. Pimco All Asset Fund Inst CL	A	Dividend	J	T					
15. Testamentary Trust - U. S. Trust Account (H)									
16. Cash or Cash Equivalents	B	Interest	M	T					
17. Columbia Dividend Income Fund Class Z Shares	A	Dividend			Sold	08/14/19	K	E	

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 5 of 9

Name of Person Reporting

Ferenbach, Vincent C.

Date of Report

04/16/2020

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)
18. Columbia Large Cap Growth Fund Class Z Shares		None			Sold	08/14/19	K	E	
19. Ishares Russell Mid-Cap Value	A	Dividend			Sold	08/14/19	K	D	
20. Janus Enterprise Fund	A	Dividend			Sold	08/14/19	K	C	
21. CLEARBRIDGE SMALL CAP GROWTH FUND CL 1		None			Sold	08/14/19	K	C	
22. Columbia Small Cap Value I Fund Class Z Shares	A	Dividend			Sold	08/14/19	J	B	
23. Artizan International Fund	A	Dividend			Sold	08/14/19	K	C	
24. ISHARES MSCI EMERGING MARKETS ETF	A	Dividend			Sold	07/31/19	J	A	
25. Columbia Intermediate Municipal Bond Fund Class Z Shares	A	Interest			Sold	08/14/19	J	B	
26. Columbia Income Opportunites Fund Cl Z	A	Dividend			Sold	08/14/19	J	B	
27. PIMCO ALL ASSET FUND INSTL CL	B	Dividend			Sold	08/14/19	K	A	
28. PIMCO COMODITY REALRETURN STRATEGY FUND	A	Dividend			Sold	07/31/19	J	A	
29. Life Insurance Trust (H)									
30. Bank of America Account Cash Equivalent	A	Interest	J	T					
31. New York Life - Whole Life #1	C	Dividend	M	T					
32. Held Individually (H)									
33. New York Life - Whole Life #2	B	Dividend	L	T					
34. USAA SUBSCRIBER SAVINGS ACCOUNT	A	Distribution	J	U					

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	

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)
35. Shares - Pocono Mountain Bluestone Corporation		None	L	W					
36. 403(b) Account with Mutual of America(H)									
37. Mutual of America Moderate Allocation Fund		None	M	T	Buy (add'l)	01/15/19	J		
38.					Buy (add'l)	01/31/19	J		
39.					Buy (add'l)	02/15/19	J		
40.					Buy (add'l)	02/28/19	J		
41.					Buy (add'l)	03/15/19	J		
42.					Buy (add'l)	03/29/19	J		
43.					Buy (add'l)	04/15/19	J		
44.					Buy (add'l)	04/30/19	J		
45.					Buy (add'l)	05/15/19	J		
46.					Buy (add'l)	05/31/19	J		
47.					Buy (add'l)	06/14/19	J		
48.					Buy (add'l)	06/28/19	J		
49.					Buy (add'l)	07/15/19	J		
50.					Buy (add'l)	07/31/19	J		
51.					Buy (add'l)	08/15/19	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)
52.					Buy (add'l)	08/30/19	J		
53.					Buy (add'l)	09/13/19	J		
54.					Buy (add'l)	09/30/19	J		
55.					Buy (add'l)	10/15/19	J		
56.					Buy (add'l)	10/31/19	J		
57.					Buy (add'l)	11/15/19	J		
58.					Buy (add'l)	11/29/19	J		
59.					Buy (add'l)	12/13/19	J		
60.					Buy (add'l)	12/31/19	J		
61.									

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 8 of 9

Name of Person Reporting	Date of Report
Ferenbach, Vincent C.	04/16/2020

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting	Date of Report
Ferenbach, Vincent C.	04/16/2020

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/ Vincent C. Ferenbach**

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