

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 07/24/2020
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address United States District Court 221 West Broadway, Room 4135 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.		

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.	
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.	

Name of Person Reporting	Date of Report
BATTAGLIA, ANTHONY	07/24/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] 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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
BATTAGLIA, ANTHONY	07/24/2020

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.			

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. T Rowe Price Equity Inc Fund (Pension Plan)	E	Dividend	N	T					
2. Vanguard High Yield Fund (Pension Plan)	C	Dividend	L	T					
3. Vanguard Star Fund (Profit Sharing Plan)	D	Dividend	M	T					
4. Vanguard Prime Fund (Profit Sharing)	A	Dividend	J	T					
5. T. Rowe Price High Yield Fund (Profit Sharing)	C	Dividend	K	T					
6. Vanguard GNMA Fund (Profit Sharing)	C	Dividend	M	T					
7. T. Rowe Price Spectrum Growth Fund (Profit Sharing)	D	Dividend	M	T					
8. Law Office Close Corp. Stock, APC		None	J	W					
9. Hennessy Fund (Tamarack Babson Value Fund)(Pension Fund)	E	Dividend	M	T					
10. Proctor & Gamble Common Stock	A	Dividend	J	T					
11. Vanguard Index 500 Fund (Profit Sharing Plan)	A	Dividend	K	T					
12. Vanguard Health Care Fund (Profit Sharing)	D	Dividend	N	T					
13. Vanguard Inflation Protected Securities-IRA	C	Dividend	M	T					
14. Vanguard GNMA Fund-IRA	A	Dividend	K	T					
15. Sempra Energy	A	Dividend	J	T					
16. Vanguard 500 Index IRA	B	Dividend	M	T					
17. Vanguard Midcap IRA	A	Dividend	K	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.)

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)
18. Vanguard Total Bond IRA	B	Dividend	K	T					
19. Vanguard Small Cap IRA	A	Dividend	K	T					
20. Vanguard International IRA	A	Dividend	K	T					
21. Vanguard Total Bond (Profit Sharing Plan)	A	Dividend	K	T					
22. Vanguard California Tax Free Bond Fund	A	Dividend	K	T					
23. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	02/20/18	J		
24. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	04/24/18	J		
25. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	05/14/18	J		
26. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	06/08/18	J		
27. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	07/10/18	J		
28. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	08/16/18	J		
29. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	09/26/18	J		
30. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	10/09/18	J		
31. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	11/30/18	J		
32. Vanguard California Tax Free Bond Fund	A	Dividend	K	T	Buy	12/26/18	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)

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P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

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P4 =More than \$50,000,000

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D =\$5,001 - \$15,000

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M =\$100,001 - \$250,000

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T =Cash Market

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FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

BATTAGLIA, ANTHONY

Date of Report

07/24/2020

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

BATTAGLIA, ANTHONY

Date of Report

07/24/2020

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/ 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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