

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) Montenegro, Ruth B.	2. Court or Organization U.S. District Court, Southern District of California	3. Date of Report 08/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 United States Courthouse 2003 W. Adams Ave. El Centro, CA 92243		
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. Board Member	El Centro Education Foundation
2. Member	FMJA Diversity Committee
3. Co-Chair	Diversity Awards Committee
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. 2000	Imperial County Employee Retirement Systems (defined benefit program)
2. 2000	California State Teachers Retirement System (defined benefit program)
3. 2017	State of California Superior Court Judges Retirement System (defined benefit, rollover, 401k)
4. 2017	State of California Savings Plus Program (457 deferred comp, 401k)
5. 2017	Superior Court of California (457 deferred comp)

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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. 2019	Superior Court of California, County of Imperial (prior salary COLA settlement)	\$2,571.46
2. 2019	State of California (wages)	\$1,651.55
3. 2019	Judicial Branch of California (interest)	\$1,252.10
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	Southern California Gas Company (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. Imperial Valley College Associated Students Leadership Institute	Sept. 6-7, 2019	Big Bear, California	Keynote speaker/workshop leader	Hotel, mileage, meals
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.)

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. Individual Assets (H)									
2. Union Bank of CA (cash)	A	Interest	L	T					
3. Sun Community Federal Credit Union Treasury Bill	B	Dividend	M	T					
4. New York Life insurance policy (whole life)	C	Dividend	M	T					
5. IRA #1 (H)									
6. Europacific Growth Fd A (AEPGX)	A	Dividend	J	T					
7. Fundamental Investors A (ANCFX)	A	Dividend	J	T					
8. The Growth Fund of America A (AGTHX)	B	Dividend	K	T					
9. Intermediate Bond Fund of America A (AIBAX)	A	Dividend	J	T					
10. IRA #2 (H)									
11. Pershing Govt Acct Money Market (cash)	A	Interest	M	T					
12. Invesco Real Estate Fund Class Y (IARYX)	E	Dividend	N	T					
13. AB Income Fund Advisor Class (ACGYX)	B	Dividend	M	T	Buy	09/06/19	M		
14. Capital World Growth & Income Fund F2 (WGIFX)	D	Dividend	O	T					
15. Eaton Vance Income Fund of Boston I (EIBIX)	E	Dividend	N	T					
16. Eaton Vance Floating Rate Adv Fd I (EIFAX)	D	Dividend			Sold	09/05/19	M		
17. EuroPacific Growth Fund CI F3 (FEUPX)	B	Dividend	L	T	Buy	01/04/19	L		

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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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. JPMorgan Mid Cap Value Fd L (FLMVX)	E	Dividend	N	T	Buy (add'l)	01/04/19	K		
19. Fundamental Investors CL F3 (FUNFX)	C	Dividend	K	T	Buy	01/04/19	K		
20. Fundamental Investors CL F-2 (FINFX) (X)	E	Dividend	N	T					
21. John Hancock Bond Fund I (JHBIX)	D	Dividend	N	T					
22. Neuberger Berman Emerging Markets Eq Fd I (NEMIX)	C	Dividend	M	T	Buy (add'l)	01/04/19	K		
23. Invesco Oppenheimer Sr Float Rate Fd Y (OOSYX)	D	Dividend			Sold	09/05/19	N		
24. Putnam Income Fund CL Y (PNCYX)	D	Dividend	M	T	Buy	09/05/19	M		
25. Wells Fargo Small Company Growth Fd I (WSCGX)	E	Dividend	N	T	Buy (add'l)	01/04/19	J		
26. 457 Deferred Comp Plan #1 (H)									
27. CA Savings Plus Program Target Date 2030		None	N	T					
28. 457 Deferred Comp Plan #2 (H)									
29. Lincoln Financial Group Fixed Account (cash)		None	J	T					
30. Delaware VIP Diversified Income (DPDFX)		None	J	T					
31. LVIP Blackrock Inflation Protected Bond (BPRAX)		None	J	T					
32. American Funds Growth Income (GAIOX)		None	J	T					
33. Delaware VIP REIT (VDREIRV)		None	J	T					
34. American Funds Growth (AGTHX)		None	J	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	

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35. American Funds International (IGAAX)		None	J	T					
36. Delaware VIP Small Cap Value (VDSCSV)		None	J	T					
37. LVIP Delaware Special Opportunities (VLDSORV)		None	J	T					
38. LVIP Mondrian International Value (VLMIVSV)		None	J	T					
39. Trust #1 (H)									
40. Pershing General Tres Money Market Class B (cash) (X)	A	Interest	K	T					
41. Invesco Oppenheimer Rochester California Municipal Y (OCAYX) (X)	C	Dividend	L	T					
42. Aim Invesco Real Estate Y (IARYX) (X)	B	Dividend	K	T					
43. American Tax Exempt Calif F2 (TEFEX) (X)	C	Dividend	M	T					
44. American Capital World Growth & Income F3 (FWGIX) (X)	A	Dividend	K	T					
45. American Funds Capital World Growth and Income Fund CL F2 (WGIFX) (X)	B	Dividend	K	T					
46. Eaton Vance Income Fund of Boston I (EIBIX) (X)	C	Dividend	L	T					
47. JPMorgan Mid Cap Value Fund Class I (JMV SX) (X)	B	Dividend	K	T					
48. Neuberger Berman Emerging Mkts Equity Instl (NEMIX) (X)	A	Dividend	K	T					
49. American Washington Mutual Investors F2 (WMFFX) (X)	C	Dividend	K	T					
50. Wells Fargo Adv Small Company Growth R6 (WSCRX) (X)	B	Dividend	K	T					

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Invesco Oppenheimer Sr Float Rate Fd Y (OOSYX) was Oppenheimer Sr Float Rate Fd Y (OOSYX).

Invesco Oppenheimer Rochester CA Municipal Fund Class Y was Oppenheimer Rochester Cali Muni Fd Cl Y.

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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/ **Ruth B. Montenegro**

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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Washington, D.C. 20544