

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 04/05/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
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. Trustee	Family Trust #1
2.	
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.	

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Name of Person Reporting

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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.		
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. 2020	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.				

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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. Wells Fargo Bank Accounts	D	Interest	N	T					
2. County Deferred Comp. Plan (H)									
3. -Stable Value Fund	A	Dividend	J	T					
4. -Lomis Sayles Cove Plus Bond	A	Dividend	J	T					
5. IRA #1 (H)									
6. -Pimco INCM - PONDY	A	Dividend			Sold	06/16/20	M	A	
7. -Prudential High Yield Fund - PHYZX	A	Dividend			Sold	06/05/20	L	B	
8. -COST	A	Dividend	K	T					
9. -Clipper Fund - CFIMX	D	Dividend			Sold	06/26/20	K	C	
10. -HD	A	Dividend			Sold	06/05/20	J	A	
11. -MRK	A	Dividend			Sold	06/05/20	J	A	
12. -BRKB	A	Dividend			Sold	06/05/20	J	A	
13. -TGT	A	Dividend			Sold	06/05/20	J	A	
14. -P&G	A	Dividend			Sold	06/05/20	J	A	
15. -AAPL	A	Dividend	M	T					
16. -Meridian Growth Fund - MERDY	A	Dividend			Sold	08/05/20	M	A	
17. -Schwab 1000 Index Fund - SNXFX	B	Dividend			Sold	08/05/20	L	A	

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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	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. -Schwab Intl Index Fund - SWISX	C	Dividend			Sold	06/26/20	K	A	
19. -Tweedy Browne Global Value Fund - TBGVX	D	Dividend			Sold	08/05/20	L	C	
20. -Vanguard Small Cap Index Fund - VSMAX	B	Dividend			Sold	06/30/20	K	B	
21. -SPYG	A	Dividend			Sold	06/26/20	K	A	
22. -Allianz Small Cap - PCVAX	A	Dividend			Sold	06/10/20	J	A	
23. -American Balanced - BALFX	A	Dividend			Sold	06/18/20	J	A	
24. -American Capital World Growth - CWGFX	A	Dividend			Sold	06/18/20	J	A	
25. -Franklin Rising Dividends - FRDPX	A	Dividend			Sold	06/16/20	J	A	
26. -Growth Fd America - GFDPX	A	Dividend			Sold	06/18/20	J	A	
27. -Investco Global Core Equity - AWSAX	A	Dividend			Sold	06/16/20	J	A	
28. -Pimco Total Return - PTTAX	A	Dividend			Sold	06/10/20	J	A	
29. -Morningstar Global Nat Res - GUNR (X)	A	Dividend	K	T	Buy	06/05/20	K		
30. -Northern Global Real Estate - NGREX (X)	B	Dividend	K	T	Buy	06/18/20	K		
31. -SPDR S&P Midcap 400 - MDY (X)	A	Dividend	K	T	Buy	06/05/20	K		
32. -Russell 2000 - IWM (X)	A	Dividend	K	T	Buy	11/19/20	K		
33. -Russell 2000 Growth -IWO (X)	A	Dividend	J	T	Buy	11/19/20	J		
34. -Northern Intl Equity - NOINX (X)	B	Dividend	L	T	Buy	11/05/20	L		

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		

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35. -Vanguard Dev Mkts - VEA (X)	B	Dividend	L	T	Buy	11/23/20	L		
36. -Northern Emerging Markets - NOEMX (X)	B	Dividend	K	T	Buy	06/18/20	K		
37. -Northern Ultra Short Fixed Income - NUSFX (X)	C	Int./Div.	N	T	Buy	06/10/20	N		
38. -Northern High Yield Fixed Income - NOFIX (X)	C	Int./Div.	L	T	Buy	08/12/20	L		
39. -Blkrk Hgh Yld Bond - BHYIX (X)	C	Int./Div.	L	T	Buy	06/10/20	L		
40. -Target Duration TIPS - TDTT (X)	A	Dividend	K	T	Buy	06/05/20	K		
41. Brokerage Account (H)									
42. -American Funds Balanced - BALFX	A	Dividend	K	T					
43. -Capital Income Bldr FD - CIBFX	A	Dividend	J	T					
44. -American Funds Growth- GFAFX	D	Dividend	L	T					
45. -Washington Mutual Investors Fund - WSHFX	B	Dividend	K	T					
46. -American Funds New Perspective Fund - NPFFX	A	Dividend	K	T					
47. -Vanguard Wellington - VWENX	C	Dividend	L	T					
48. -Vanguard Healthcare - VGHCX	A	Dividend	K	T					
49. -Janus/Henderson Forty - JACTX	D	Dividend	M	T					
50. -Northern Intl Equity - NOINX	C	Dividend	L	T					
51. -Northern Tax Adv Ultra Short - NTAUX	C	Dividend	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	
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52. -Dimesions Emerging Markets - DFCEX	A	Dividend	J	T					
53. -Northern Cal Inter Tax-Exempt - NCITX	B	Dividend	L	T					
54. -Northern High Yield Fixed Inc - NHFIX	B	Dividend	K	T					
55. -Russell 2000 - IWM	A	Dividend	J	T					
56. -SPDR S&P Midcap 400 - MDY	A	Dividend	J	T					
57. -American Century Ultra - TWCUX	B	Dividend	M	T					
58. -Target Duration TIPS - TDTT (X)	A	Dividend	J	T	Buy	08/18/20	J		
59. -Northern Global RE - NGREX (X)	A	Dividend	K	T	Buy	08/17/20	K		
60. -Morningstar Global Nat Res - GUNR (X)	A	Dividend	K	T	Buy	08/18/20	K		
61. Variable Life Insurance (H)									
62. -NW Mutual Index 400 Stock Fund	A	Dividend			Sold	11/06/20	K	A	
63. -Russell Real Estate Securities Fund	B	Dividend			Sold	11/06/20	K	B	
64. -Wells Capital Mgmt	A	Dividend	L	T					
65. -NW Mutual Index 500	A	Dividend	L	T					
66. -NW Mutual International Growth	A	Dividend			Sold	11/06/20	L	B	
67. -Fidelity VIP Contrafund	A	Dividend			Sold	11/06/20	L	A	
68. -NW Mutual Index 600	A	Dividend	J	T					

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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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69. -NW Mutual Research International Core	A	Dividend	K	T					
70. -Aberdeen Emerging Markets Equity	A	Dividend	K	T					
71. -Pimco MultiSector Bond	A	Dividend	K	T					
72. -NW Global RE Securities (X)	A	Dividend	K	T	Buy	11/08/20	K		
73. -NW Strategic Bond (X)	A	Dividend	L	T	Buy	11/08/20	L		
74. -Rowe Price Equity Income (X)	A	Dividend	K	T	Buy	11/08/20	K		
75. Inherited IRA #1 (H)									
76. -JPM	A	Dividend	J	T	Sold (part)	01/08/20	L	D	
77. -FDFFX	A	Dividend			Sold	01/08/20	K	C	
78. -PRPFX	A	Dividend			Sold	01/08/20	L	D	
79. -FSCRX	B	Dividend			Sold	01/08/20	K	A	
80. -Northern Stock Index - NOSIX (X)	A	Dividend	K	T	Buy	01/10/20	K		
81. -Northern Equity Mid Cap - NOMIX (X)	A	Dividend	J	T	Buy	01/10/20	J		
82. -Northern Small Cap - NSIDX (X)	A	Dividend	J	T	Buy	01/10/20	J		
83. -Northern Intl Equity - NOINX (X)	A	Dividend	K	T	Buy	01/10/20	K		
84. -Northern Emerging Markets - NOEMX (X)	A	Dividend	J	T	Buy	01/10/20	J		
85. -Dimentions Emerging Markets - DFCEX (X)	A	Dividend	J	T	Buy	01/10/20	J		

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86. -Northern Ultra Short Fixed Income - NUSFX (X)	A	Dividend	L	T	Buy	01/10/20	L		
87. -Northern Bond Index - NOBOX (X)	A	Dividend	K	T	Buy	01/10/20	K		
88. -Northern High Yield Fixed Income - NHFIX (X)	A	Dividend	J	T	Buy	01/10/20	J		
89. -Target Duration TIPS - TDTT (X)	A	Dividend	K	T	Buy	01/13/20	K		
90. -Northern Global Real Estate - NGREX (X)	A	Dividend	J	T	Buy	01/10/20	J		
91. -Morningstar Global Nat Res - GUNR (X)	A	Dividend	J	T	Buy	01/13/20	J		
92. Family Trust #1 (H)									
93. -Wells Fargo Account	A	Interest			Closed	06/29/20	K	A	
94. Inherited IRA #2 (H)									
95. -Target Duration Tips Index - TDTT	A	Dividend	K	T					
96. -Morningstar Global RE - GUNR	A	Dividend	J	T					
97. -SPDR S&P Midcap 400 - MDY	A	Dividend	J	T					
98. -Northern Intl Equity - NOINX	A	Dividend	K	T					
99. -Northern Global Real Estate - NGREX	A	Dividend	J	T					
100. -Northern Ultra Short Fixed Income - NUSFX	A	Int./Div.	L	T					
101. -Northern Bond Index - NOBOX	A	Dividend	K	T					
102. -Northern Emerging Markets Equity - NOEMX	A	Dividend	J	T					

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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	
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(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. -Northern High Yield Fixed Income - NHFIX	A	Dividend	J	T					
104. -SPDR S&P 500 - SPY	A	Dividend	L	T					
105. -Dimensions Emerging Markets - DFCEX	A	Dividend	J	T					
106. IRA #2 (H)									
107. -Northern Equity Index Midcap - NOMIX	A	Dividend	J	T					
108. -Northern Intl Equity - NOINX	A	Dividend	K	T					
109. -Northern Global Real Estate - NGREX	A	Dividend	J	T					
110. -Northern Bond Index - NOBOX	A	Dividend	L	T					
111. -Northern Emerging Markets - NOEMX	A	Dividend	J	T					
112. -Northern Small Cap Index - NSIDX	A	Dividend	J	T					
113. -Northern Stock Index - NOSIX	A	Dividend	L	T					
114. -Northern High Yield Fixed Income - NHFIX	A	Dividend	K	T					
115. -DFA Intl Small Co - DFISX	A	Dividend	J	T					
116. -Target Duration TIPS- TDTT	A	Dividend	J	T					
117. -Morningstar Global Nat Res - GUNR	A	Dividend	J	T					
118. Stoxx Global Broad Index - NFRA	A	Dividend	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting Carney, Cormac J.	Date of Report 04/05/2021
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Carney, Cormac J.

Date of Report

04/05/2021

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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One Columbus Circle, N.E.
Washington, D.C. 20544