

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) Acosta, John V.	2. Court or Organization District Court - Oregon	3. Date of Report 04/28/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 1127 United State Courthouse 1000 SW Third Avenue Portland, OR 97204		
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.	2020 Member, Dean's Advisory Council	University of Oregon School of Law
2.	2020 Member, Professionalism Commission	Oregon State Bar
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	2008	TriMet Defined Benefit Retirement Plan, no control
2.		
3.		

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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. 2020	Tri-Met Defined Benefit Retirement Income	\$12,557.00
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.	
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.		

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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. IRA #1 (H)									
2. - Vanguard Federal Money Market Fund	A	Dividend	M	T	Redeemed (part)	01/07/20	L		
3.					Redeemed (part)	01/27/20	K		
4.					Redeemed (part)	01/31/20	K		
5.					Redeemed (part)	03/24/20	K		
6.					Buy (add'l)	04/16/20	M		
7. - Vanguard Intermediate-term Bond Index Fund	D	Dividend	M	T	Sold (part)	04/16/20	M		
8.					Sold (part)	04/16/20	J		
9. - Vanguard REIT Index Fund	D	Dividend	N	T	Buy (add'l)	04/16/20	J		
10.					Buy (add'l)	04/16/20	K		
11. - Vanguard Total International Bond Index Fund	A	Dividend			Sold (part)	04/16/20	K		
12.					Sold	04/16/20	K		
13. - Vanguard Total International Stock Index Fund	D	Dividend	O	T	Buy (add'l)	04/16/20	L		
14. IRA #3 (H)									
15. - Vanguard Federal Money Market Fund	A	Dividend			Redeemed	01/07/20	J		
16. - Vanguard Intermediate-term Bond Index Fund	D	Dividend	N	T					
17. - Vanguard Total International Bond Index Fund	A	Dividend			Sold (part)	04/16/20	L		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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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.					Sold	04/17/20	L		
19. - Vanguard Total Stock Market Index Fund	D	Dividend	O	T	Buy (add'l)	04/16/20	K		
20.					Buy (add'l)	04/17/20	L		
21. Vanguard Total Stock Market Index Fund (IRA#4)	A	Dividend	K	T					
22. IRA #7 (H)									
23. - Vanguard Intermediate-term Bond Index Fund	C	Dividend	M	T	Buy (add'l)	04/16/20	M		
24. - Vanguard REIT Index Fund	D	Dividend	N	T	Buy (add'l)	04/16/20	J		
25.					Buy (add'l)	04/16/20	L		
26. - Vanguard International Stock Market Index Fund	D	Dividend	O	T	Sold (part)	04/16/20	L		
27. - Vanguard Total Stock Market Index Fund	D	Dividend	O	T	Buy (add'l)	04/17/20	L		
28. Vanguard Total International Bond Index Fund (IRA #8)	A	Dividend			Sold (part)	04/16/20	J		
29.					Sold (part)	04/16/20	M		
30.					Sold	04/17/20	L		
31. Vanguard Total Stock Market Index Fund (IRA #10)	A	Dividend	K	T					
32. IRA #13 (H)									
33. - D3 Family Fund L.P., Private Placement (see note)		None	J	V	Redeemed (part)	07/22/20	J		
34.					Redeemed (part)	10/26/20	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	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.)

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	(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. - Vanguard Total Stock Market Index Fund	D	Dividend	N	T					
36. - TIAA Real Estate Fund	A	Dividend	J	T	Buy (add'l)	08/20/20	J		
37. - Charles Schwab Cash Account (Y)									
38. United States Savings Bonds - I Series	D	Interest	N	T					
39. iQ Credit Union account	A	Interest	K	T					
40.									
41.									
42.									
43.									

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

Line 33 - The D3 Family Fund does not report dividends or interest. Therefore neither are reported here.

Line 33 - The D3 Family Fund valuation is based on capital account reports issued to investors by the fund. Underlying assets are not all widely traded.

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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/ John V. Acosta**

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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