

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                     |                                                                                                                                                                                                                                        |                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>BATTAGLIA, ANTHONY                                                                                             | <b>2. Court or Organization</b><br><br>US DISTRICT COURT                                                                                                                                                                               | <b>3. Date of Report</b><br><br>03/04/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>DISTRICT JUDGE - ACTIVE                                 | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                     | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>United States District Court<br>221 West Broadway, Room 4135<br>San Diego, CA 92101-8927                                                |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> 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 | Carol S. Battaglia APC/Pension & Profit Sharing Trust       |
| 2. Trustee | <input type="checkbox"/> 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.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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Name of Person Reporting

BATTAGLIA, ANTHONY

Date of Report

03/04/2021

## 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.

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 |
| BATTAGLIA, ANTHONY       | 03/04/2021     |

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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Name of Person Reporting

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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                                      | N                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Vanguard Prime Fund (Profit Sharing)                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. T. Rowe Price High Yield Fund (Profit Sharing)                                                                          | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Vanguard GNMA Fund (Profit Sharing)                                                                                     | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. T. Rowe Price Spectrum Growth Fund (Profit Sharing)                                                                     | D                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Carol S. Battaglia APC Law Office Close Corp. Stock                                                                     |                                        | None                                          | J                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Hennessy Fund (Tamarack Babson Value Fund)(Pension Fund)                                                                | D                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Proctor & Gamble Common Stock                                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Vanguard Index 500 Fund (Profit Sharing Plan)                                                                          | A                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Vanguard Health Care Fund (Profit Sharing)                                                                             | E                                      | 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:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Vanguard Total Bond IRA                                                                                                | B                                      | Dividend                               | L                                              | 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                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/08/20         | J                        | A                       |                                                            |
| 23. Vanguard California Tax Free Bond Fund                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 02/25/20         | J                        | A                       |                                                            |
| 24. Vanguard California Tax Free Bond Fund                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 03/27/20         | J                        | A                       |                                                            |
| 25. Vanguard California Tax Free Bond Fund                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 04/14/20         | J                        | A                       |                                                            |
| 26. Vanguard California Tax Free Bond Fund                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/14/20         | J                        | A                       |                                                            |
| 27. Vanguard California Tax Free Bond Fund                                                                                 | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 06/09/20         | J                        | A                       |                                                            |

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

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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/ 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  
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