

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Mendez, John A.	2. Court or Organization District Court, Eastern District of California	3. Date of Report 04/16/2015
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. District Court, E.D. California 501 I Street, 14th Floor Sacramento, CA 95814		
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.		
2.		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

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. 2014

Sacramento County Department of Health and Human Services-salary

2. 2014

Fall Creek Counseling Associates--salary

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. American Antitrust Institute
Stanford Law School08/14/2014 to
08/16/2014

Stanford Law School

Non-FJC educational
program

Meals, lodging, and transportation

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

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)
1. FINANCIAL MANAGEMENT/ BROKERAGE ACCOUNT MORGAN STANLEY									
2. -Cash/Money Market Fund, Morgan Stanley	A	Interest	J	T					
3. -Countrywide mortgage and asset backed securities	A	Interest	J	T					
4. -Small Cap Equity Legg Mason Mutual Fund	A	Int./Div.	K	T					
5. -Clearbridge All Cap Value C	A	Int./Div.	K	T					
6. -Clearbridge Large Cap Growth C	A	Int./Div.	K	T					
7. -Clearbridge Mid Cap Core C	A	Int./Div.	K	T					
8. -TRAK Morgan Stanley Mutual Funds	A	Int./Div.	L	T					
9. -Sallie Mae Certificate of Deposit	A	Interest			Matured	01/23/14	J		
10. -Sacramento Municipal Utility Dist. Muni Bond	A	Interest	J	T					
11. -Altria Group Inc. common stock (X)	B	Dividend	L	T					
12. -Exxon Mobil Corp. common stock (X)	B	Dividend	L	T					
13. -Hewlett Packard common stock (X)	A	Dividend	K	T					
14. -HSBC Holdings PLC SPON ADR NEW common stock (X)	B	Dividend	K	T					
15. Kraft Foods Group Inc. common stock (X)	A	Dividend	K	T					
16. Mondelez Intl. Inc. common stock (X)	A	Dividend	K	T					

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

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)

17. Pfizer Inc. common stock (X)	B	Dividend	K	T					
18. Philip Morris Intl. Inc. common stock (X)	D	Dividend	M	T					
19. Proctor & Gamble common stock (X)	D	Dividend	M	T					
20. Morgan Stanley (IRA)--cash equivalents	B	Interest	O	T					
21. Morgan Stanley (IRA) Trak Mutual Funds	A	Int./Div.	L	T	Buy	01/08/14	L		
22. Wells Fargo Bank Accounts	A	Interest	K	T					
23.									
24. Morgan Stanley 529 College Savings Plan	A	Interest	K	T					
25. --Legg Mason SCH CH BAL 50/50 A4					Sold	12/03/14	J	A	
26. --Legg Mason SCH CH BAL 50/50 B4					Sold	12/03/14	J	A	
27. --Legg Mason SCH CH BAL 50/50 C4					Sold (part)	12/03/14	J	A	

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

Page 6 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

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

Line 17 in Part VII. Investments and Trusts lists for the first time "Morgan Stanley 529 College Savings Plan". The assets in this Plan are listed on lines 18, 19 and 20. This account was opened on 11/17/09 and, therefore, should have been listed on my 2009, 2010, 2011 and 2012 Financial Disclosure Statements. The account is not controlled by me but is controlled by [REDACTED] for the benefit of [REDACTED]. I did not intentionally omit this account from Part VII in my prior reports but incorrectly believed that it did not have to be listed since it was not controlled by me.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Mendez, John A.

Date of Report

04/16/2015

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 A. Mendez**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544