

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Dembin, Mitchell D.	2. Court or Organization District Court - San Diego	3. Date of Report 08/26/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 333 W. Broadway Room 1180 San Diego, CA 92101		
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. Member - Board of Governors	Association of Bustiness Trial Lawyers - San Diego Chapter
2. Sole Member	Silver Lining Music, LLC
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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. 2016	Thomas Jefferson School of Law - Salary
2. 2016	Self-employed attorney
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. Guidance Software	3/3/2016 - 3/4/2016	San Francisco, CA	e-Discovery presentation at RSA Conference	Airfare and Lodging Only
2. Association of Business Trial Lawyers	4/1/2016-4/3/2016	Carmel, CA	Joint Board Meeting	Mileage and Lodging Only
3. Association of Business Trial Lawyers	10/4/2016-10/10-2016	Maui, HI	Annual Conference (Panelist)	Airfare, Lodging and Registration
4. ALM	6/13/2016-6/14-2016	San Francisco, CA	Speak at LegalTech West Conference	Airfare and Lodging
5. International Association of Claims Processors	9/27/2016-9/28-2016	Sonoma, CA	Speak at Conference	Airfare and Lodging

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Bank of America	Credit Card	K
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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. NML Mutual Fund - jms ira									
2. - Bond Fund of America	A	Dividend	J	T					
3. - Capital World Growth Fund	B	Dividend	J	T					
4. - Growth Fund of America	B	Dividend	J	T					
5. - Income Fund of America - Class A	D	Dividend	K	T					
6. NML Mutual Fund - mdd - ira									
7. - Money Market Fund - Class B	A	Dividend	J	T					
8. - American Century Div. Bond Fund	A	Dividend	K	T					
9. - Brown Cap. Mgmt. Small	A	Dividend	J	T					
10. - Columbia Acorn Int'l Fund	A	Dividend	J	T	Sold (part)	09/16/16	J	B	
11. - Deutsche Enhanced Commodity Strategy	A	Dividend	J	T					
12. - Dodge & Cox Income Fund	A	Dividend	K	T					
13. - Euro Pacific Growth Fund	A	Dividend	K	T					
14. - Fidelity Advisor Mid-cap II Fund	B	Dividend	J	T					
15. - Fidelity Advisor New Insights Fund	D	Dividend	L	T					
16. - Hartford World Bond Fund Class I	A	Dividend	J	T					
17. - Int'l Growth & Income	A	Dividend	K	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

Page 5 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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. - John Hancock Disciplined Fund	C	Dividend	K	T					
19. - Metropolitan West Total Return Bond	A	Dividend	K	T					
20. - New World Fund Class F2	A	Dividend	K	T					
21. -Northern Small Cap Value Fund	C	Dividend	J	T					
22. - Oakmark International Fund	B	Dividend	J	T					
23. -Parnassus Core Equity Fund	A	Dividend	J	T	Buy (add'l)	10/03/16	J	A	
24. - Pimco Income Fund Class P	A	Dividend	K	T					
25. - MFS Value Fund - Class I	D	Dividend	K	T					
26. - T Rowe Price Real Estate Fund	D	Dividend	K	T					
27. - Templeton Global Bond Fund - Class A	A	Dividend	J	T					
28. -Vanguard Short-Term Investment Grade A	A	Dividend	K	T					
29. Cabrillo Federal Credit Union	A	Dividend	J	T					
30. Wells Fargo Bank - Joint	A	Dividend			Closed	04/18/16	J		
31. Wells Fargo Bank - Silver Lining	A	Dividend	J	T					
32. NML Whole Life - mdd	B	Dividend	L	T					
33. NML Variable Life - mdd #1-63									
34. - International Equity Fund	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

Page 6 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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)

35. - Index 500 Stock Fund	A	Dividend	K	T					
36. - Midcap Growth Fund	A	Dividend	J	T					
37. - Growth Stock Fund	A	Dividend	J	T					
38. - Large Cap. Core Fund	A	Dividend	J	T					
39. NML Variable Life - mdd #2-27									
40. - International Equity Fund	A	Dividend	J	T					
41. - Index 500 Stock Fund	A	Dividend	J	T					
42. - Midcap Growth Fund	A	Dividend	J	T					
43. - Growth Stock Fund	A	Dividend	J	T					
44. - Large Cap. Core Fund	A	Dividend	J	T					
45. NML SEP jms									
46. - Bond Fund of America A	A	Dividend	J	T					
47. - Capital World Growth A	A	Dividend	J	T					
48. - Growth Fund of America A	A	Dividend	J	T					
49. - Income Fund of America A	B	Dividend	J	T					
50. Luminore Private Stock (X)	A	Dividend	J	U					
51. NML Brokerage - mdd									

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 7 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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)
52. -Money Market Fund Class B	A	Dividend	J	T					
53. - American Century Intermediate A	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
54. -Columbia Acorn Int'l Fund	A	Dividend			Sold	09/19/16	J	A	
55. - Deutsche Enhanced Commodity Strategy	A	Dividend	J	T					
56. -Dodge & Cox Int'l Fund	A	Dividend	J	T					
57. - Euro Pacific Growth Fund	A	Dividend	J	T					
58. - Fidelity Advisory Intermediate Muni	A	Dividend	K	T					
59. - Fidelity Advisor Ltd. Term	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
60. -Fidelity Advisor Midcap II Fund	A	Dividend	J	T					
61. -Fidelity Advisor New Insights Fund	B	Dividend	K	T	Sold (part)	01/27/16	J	A	
62. -Franklin Federal Inter Term Tax-free	A	Dividend	K	T	Sold (part)	01/27/16	J	A	
63. - John Hancock Disciplined Value	B	Dividend	J	T	Sold (part)	01/27/16	J	A	
64. -MFS Value Fund	D	Dividend	K	T	Sold (part)	01/27/16	J	A	
65. -New World Fund Class F-2	A	Dividend	J	T	Buy (add'l)	12/23/16	J	A	
66. -Northern Small Cap Value Fund	B	Dividend	J	T					
67. -T Rowe Price Tax-free High Yield	A	Dividend	J	T	Sold (part)	01/27/16	J	A	
68. -T Rowe Price Real Estate	B	Dividend	J	T	Sold (part)	01/27/16	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 \$5,000,000	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 8 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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)
69. NML Variable Annuity - jms									
70. - T Rowe Price Equity Fund	A	Dividend	J	T					
71. - Neuberger Berman Socially Responsive	A	Dividend	J	T					
72. - Fidelity VIP Contra Fund	A	Dividend	J	T					
73. - Janus Focused Appreciation	A	Dividend	J	T					
74. - American Sentry Midcap Value	A	Dividend	J	T					
75. - Fidelity VIP Midcap	A	Dividend	J	T					
76. - T Rowe Price Small Cap Value	A	Dividend	J	T					
77. - MFS Research Int'l	A	Dividend	J	T					
78. - Franklin Templeton Int'l Equity	A	Dividend	J	T					
79. - Janus Int'l Growth	A	Dividend	J	T					
80. - MFS Emerging Markets	A	Dividend	J	T					
81. - T Rowe Price Short-term Bond	A	Dividend	J	T					
82. - Wells Capital Mgmt Select Bond	A	Dividend	J	T					
83. - Russell Core Bond (RIF Strategic)	A	Dividend	J	T					
84. - American Century Inflation Protection	A	Dividend	J	T					
85. - Pimco Multi-sector Bond	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 \$5,000,000	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 9 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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)

86. - Federated Investment High Yield Bond	A	Dividend	J	T					
87. - Russell (RIF) Global Real Estate Securities	A	Dividend	J	T					
88. - Credit Suisse Commodity Strategy	A	Dividend	J	T					
89. Attorney Appearance LLC		None	J	U					

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 10 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Dembin, Mitchell D.

Date of Report

08/26/2017

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/ **Mitchell D. Dembin**

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