

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) Carney, Cormac J.	2. Court or Organization District Court - Central District of California	3. Date of Report 05/20/2017
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 01/01/2016 to 12/31/2016
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.		
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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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. 2016	University of California, Irvine - salary
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) 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. Wells Fargo Bank Accounts	A	Interest	K	T					
2. Vanguard Wellington Fund	B	Dividend	L	T					
3. Vanguard Health Fund	B	Dividend	K	T					
4. Janus Twenty Fund	D	Dividend	L	T					
5. American Century - Ultra	C	Dividend	L	T					
6. County Deferred Comp. Plan									
7. -Stable Value Fund	A	Dividend	J	T					
8. -Loomis Sayles Cove Plus Bond N	A	Dividend	J	T					
9. IRA Brokerage									
10. -Schwab Total Bond Fund - SWLBX	A	Dividend	M	T					
11. -Schwab Money Market Fund	A	Int./Div.	J	T					
12. -COST	A	Dividend	K	T					
13. -Clipper Fund - CFIMX	D	Dividend	K	T					
14. -HD	A	Dividend	J	T					
15. -MRK	A	Dividend	J	T					
16. -BRKB	A	Dividend	J	T					
17. -TGT	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	

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18. -P&G	A	Dividend	J	T					
19. -AAPL	A	Dividend	K	T					
20. -Meridian Growth Fund - MERDX	C	Dividend	L	T					
21. -Schwab 1000 Index Fund - SNXSX	F	Dividend	M	T					
22. -Schwab Intl Index Fund - SWINX	C	Dividend	K	T					
23. -Tweedy Browne Global Value Fund - TBGVX	D	Dividend	L	T					
24. -Vanguard Small Cap Index Fund - NAESX	E	Dividend	L	T					
25. -SPYG	A	Dividend	J	T					
26. 401(k)									
27. -Dodge and Cox Stock	C	Dividend	K	T					
28. -Inspire Horizon RM 2020	A	Dividend	K	T					
29. -Metro West Total Return	A	Dividend	J	T					
30. Brokerage Account									
31. -American Funds - Balanced	A	Dividend	J	T					
32. -Capital Income Bldr FD - CIBCX	A	Dividend	J	T					
33. -American Funds - Growth Fund	A	Dividend	K	T					
34. -Investco Small Cap Value	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	
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35. -Washington Mutual Investors Fund - WSHCX	A	Dividend	J	T					
36. -American Funds - New Perspective Fund	A	Dividend	J	T					
37. -Putnam CA Tax Exempt Income FD - CLC	A	Dividend	K	T					
38. IRA Rollover									
39. -Growth FD Amer Inc - GFACX	B	Dividend	J	T					
40. -Franklin Rising Dividends - FRDTX	A	Dividend	J	T					
41. -Allianz NFJ Small Cap - PCVCX	A	Dividend	J	T					
42. -Capital World Growth & Income - CWGCX	A	Dividend	J	T					
43. -Pimco Total Return - PTTCX	A	Dividend	J	T					
44. -Amer Blanced Fund - BALCX	A	Dividend	J	T					
45. -Investco Global Core Eq Fund	A	Dividend	J	T					
46. Variable Life Insurance									
47. -NW Mutual - Mid Cap Grth Stock	A	Dividend	K	T					
48. -NW Mutual Growth Stock Fund	A	Dividend	L	T					
49. -NW Mutual Index 400 Stock Fund	B	Dividend	K	T					
50. -NW Mutual Small Cap Growth Fund	A	Dividend	K	T					
51. -Russell Non-US Fund	A	Dividend	K	T					

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52. -Russell Real Estate Securities Fund	A	Dividend	J	T					
53. -T Rowe Price Small Cap Value	C	Dividend	K	T					
54. -Delaware Mgmt Domestic Equity	D	Dividend	L	T					
55. Inherited IRA									
56. -JPM	C	Dividend	K	T					
57. -FDFFX	A	Dividend	K	T	Sold (part)	11/29/16	J	A	
58. -PRPFX	A	Dividend	L	T	Sold (part)	11/29/16	J	A	
59. -FDRXX	A	Interest	J	T					
60. -FSCRX	A	Dividend	K	T	Sold (part)	11/29/16	J	A	
61. Retirement Savings Program									
62. -UC Equity Fund	A	Dividend	K	T					
63. -Vang Sm Cap Indx Inst	A	Dividend	J	T					
64. -UC Bond Fund	A	Dividend	K	T					
65. -UC Pathway 2060	A	Dividend	J	T					

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

1. Part VII: Item 25: Last year SPYG was purchased within the IRA Brokerage but was inadvertently listed as SPYG instead of -SPYG.

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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/ 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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Washington, D.C. 20544