AO 10
Rev. 1/2022

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

*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) | 2. Court or Organization | 3. Date of Report |
|---|---|---|
| Aenlle-Rocha, Fernando L. | U.S. District Court, Central District of California | 04/24/2022 |
| **4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)** | **5a. Report Type (check appropriate type)** | **6. Reporting Period** |
| U.S. District Judge - Active | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☐ Amended Report | 01/01/2021 **to** 12/31/2021 |
| **7. Chambers or Office Address** | | |
| First Street Courthouse<br>350 West First Street<br>Los Angeles, CA 90012 | | |

***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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

| | POSITION | NAME OF ORGANIZATION/ENTITY |
|---|---|---|
| 1. | Trustee | Mexican American Bar Foundation |
| 2. | Director and Legacy Board Member | Twelve Oaks Foundation |
| 3. | Trustee | Trust #1 |
| 4. | | |
| 5. | | |

## II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements )*

☐ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | 2017-2020 | State of California: Judicial Pension |
| 2. | 2017-2021 | County of Los Angeles: Judicial 401k Savings Plan and 457(b) Deferred Compensation and Thrift (Horizons) Plan |
| 3. | | |

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

### A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

| | DATE | SOURCE AND TYPE | INCOME (yours, not spouse's) |
|---|---|---|---|
| 1. | 2021 | State of California: judicial pension distribution | $133,302.27 |
| 2. | 2021 | Los Angeles Superior Court, judicial salary | $4,478.53 |
| 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 |
|---|---|---|
| 1. | 2021 | Los Angeles County District Attorney's Office, income for legal services performed as a prosecutor |
| 2. | | |
| 3. | | |
| 4. | | |

## IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable reimbursements.)*

| | SOURCE | DATES | LOCATION | PURPOSE | ITEMS PAID OR PROVIDED |
|---|---|---|---|---|---|
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |

## V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

| | SOURCE | DESCRIPTION | VALUE |
|---|---|---|---|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |

## VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable liabilities.)*

| | CREDITOR | DESCRIPTION | VALUE CODE |
|---|---|---|---|
| 1. | Citibank | Line of credit | L |
| 2. | Citibank | Credit card | K |
| 3. | Citibank | Credit card | J |
| 4. | Bank of America | Credit card | K |
| 5. | Nordstrom | Credit card | J |
| 6. | American Express | Credit Card | J |

| Name of Person Reporting | Date of Report |
|---|---|
| **Aenlle-Rocha, Fernando L.** | 04/24/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| | A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
| | Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 1. | Citibank cash accounts | A | Interest | J | T | | | | | |
| 2. | Mass Mutual Variable Universal Life, American Funds Growth-Income Fund | C | Dividend | | | Closed | 06/30/21 | L | | |
| 3. | American Funds U.S. Government Money Market | | None | J | T | Buy | 05/04/21 | M | | |
| 4. | American Funds U.S. Government Money Market | | None | J | T | Distributed (part) | 05/17/21 | M | | |
| 5. | American Funds AMCAP Fund | C | Dividend | K | T | Distributed (part) | 05/18/21 | K | | |
| 6. | American Funds American Mutual Fund | C | Dividend | L | T | Distributed (part) | 03/15/21 | J | | |
| 7. | American Funds American Mutual Fund | C | Dividend | L | T | Distributed (part) | 04/07/21 | J | | |
| 8. | American Funds American Mutual Fund | C | Dividend | L | T | Distributed (part) | 06/08/21 | J | | |
| 9. | American Funds American Mutual Fund | C | Dividend | L | T | Distributed (part) | 07/15/21 | J | | |
| 10. | American Funds Capital Income Builder | B | Dividend | L | T | Distributed (part) | 03/25/21 | J | | |
| 11. | American Funds Capital Income Builder | B | Dividend | L | T | Distributed (part) | 05/10/21 | J | | |
| 12. | American Funds Capital Income Builder | B | Dividend | L | T | Distributed (part) | 09/01/21 | J | | |
| 13. | American Funds Capital World Growth & Income Fund | C | Dividend | L | T | Distributed (part) | 02/17/21 | J | | |
| 14. | American Funds Capital World Growth & Income Fund | C | Dividend | L | T | Distributed (part) | 05/28/21 | J | | |
| 15. | American Funds Developing World Growth & Income Fund | A | Dividend | K | T | | | | | |
| 16. | American Funds EuroPacific Growth Fund | D | Dividend | L | T | | | | | |
| 17. | American Funds Fundamental Investors Fund | D | Dividend | L | T | Distributed (part) | 01/25/21 | J | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 | |
| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | | |
| | 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 (See Column C2) | Q =Appraisal | R =Cost (Real Estate Only) | S =Assessment | T =Cash Market | | |
| | U =Book Value | V =Other | W =Estimated | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Aenlle-Rocha, Fernando L.** | 04/24/2022 |

## VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | Transactions during reporting period | | | | |
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| 18. American Funds Fundamental Investors Fund | D | Dividend | L | T | Distributed (part) | 04/19/21 | J | | |
| 19. American Funds Fundamental Investors Fund | D | Dividend | L | T | Distributed (part) | 06/21/21 | J | | |
| 20. American Funds Growth Fund of America | C | Dividend | K | T | | | | | |
| 21. American Funds Income Fund of America | B | Dividend | K | T | | | | | |
| 22. American Funds International Growth & Income Fund | C | Dividend | L | T | Distributed (part) | 08/10/21 | J | | |
| 23. American Funds Investment Company of America Fund | C | Dividend | K | T | | | | | |
| 24. American Funds New Economy Fund | B | Dividend | K | T | | | | | |
| 25. American Funds New Perspective Fund | B | Dividend | K | T | | | | | |
| 26. American Funds New World Fund | B | Dividend | K | T | | | | | |
| 27. American Funds SMALLCAP World Fund | B | Dividend | K | T | | | | | |
| 28. American Funds Washington Mutual Investors Fund | B | Dividend | K | T | | | | | |
| 29. L.A. County 457(b) Deferred Comp (Horizons) Plan Non-U.S. Equity Fund | | None | M | T | | | | | |
| 30. L.A. County 457(b) Deferred Comp (Horizons) Plan Small Cap Equity Fund | | None | M | T | | | | | |
| 31. L.A. County 457(b) Deferred Comp (Horizons) Plan Mid Cap Equity Fund | | None | M | T | | | | | |
| 32. L.A. County 457(b) Deferred Comp (Horizons) Plan Large Cap Equity Fund | | None | N | T | | | | | |
| 33. L.A. County 457(b) Deferred Comp (Horizons) Plan Balanced Fund | | None | M | T | | | | | |
| 34. L.A. County 401(k) Savings Plan Non-U.S. Equity Fund | | None | L | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
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| | 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 (See Columns C1 and D3) | J =$15,000 or less | K =$15,001 - $50,000 | L =$50,001 - $100,000 | M =$100,001 - $250,000 | |
| | 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 | |
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| Name of Person Reporting | Date of Report |
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| A | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
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| Place "(X)" after each asset exempt from prior disclosure | (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) | |
| 35. L.A. County 401(k) Savings Plan Small Cap Equity Fund | | None | K | T | | | | | |
| 36. L.A. County 401(k) Savings Plan Mid Cap Equity Fund | | None | L | T | | | | | |
| 37. L.A. County 401(k) Savings Plan Large Cap Equity Fund | | None | M | T | | | | | |
| 38. L.A. County 401(k) Savings Plan Balanced Fund | | None | K | T | | | | | |
| 39. L.A. County 401(k) Savings Plan Stable Value Fund | | None | K | T | | | | | |

| | | | | | |
|---|---|---|---|---|---|
| 1 Income Gain Codes: (See Columns B1 and D4) | 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 |
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| | U =Book Value | V =Other | W =Estimated | | |

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

Although I am a trustee of Trust #1, there are no reportable assets in the trust.

| Name of Person Reporting | Date of Report |
|---|---|
| **Aenlle-Rocha, Fernando L.** | 04/24/2022 |

## 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/ Fernando L. Aenlle-Rocha**

**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