

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) Pregerson, Dean D.	2. Court or Organization Central District of California	3. Date of Report 08/12/2017
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 312 N. Spring Street 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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Salvation Army Los Angeles Metropolitan
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)*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.

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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. Real Estate, Pacific Palisades	G	Rent	P1	W					
2. Palmer Square Income Plus Fund (Y)									
3. Brokerage Account #1 (H)									
4. Schwab Money Market (SWFXX) (cash)	A	Interest	K	T	Open	05/31/16	M		
5. Schwab Value Advantage (SWVXX)	A	Interest	K	T	Buy	06/29/16	K		
6. Angel Oak Flexible Income (ANFIX)	A	Dividend	J	T	Buy	06/29/16	J		
7.					Buy (add'l)	12/29/16	J		
8. Angel Oak Multi-Strategy (ANGIX)	A	Dividend			Buy	06/29/16	J		
9.					Sold	08/30/16	J		
10. Doubleline Total Return (DBLTX)	A	Dividend	J	T	Buy	06/29/16	J		
11.					Buy (add'l)	12/29/16	J		
12. Riverpark Short Term (RPHIX)	A	Dividend	J	T	Buy	06/29/16	J		
13.					Buy (add'l)	12/29/16	J		
14. Stone Ridge Alt. Lending (LENDX)	A	Dividend	J	T	Buy	06/29/16	J		
15. American Beacon Bridgeway Large Cap Value Y (BWLYX)	A	Dividend	J	T	Buy	06/29/16	J		
16.					Buy (add'l)	12/29/16	J		
17. Artisan Int'l Fund Adv (APDIX)	A	Dividend	J	T	Buy	06/29/16	J		

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	

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☐ 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 I (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.					Buy (add'l)	12/29/16	J		
19. Ashmore Emerging Markets (EFEIX)	A	Dividend	J	T	Buy	06/29/16	J		
20. Dodge & Cox Int'l Stocks (DODFX)	A	Dividend	J	T	Buy	06/29/16	J		
21.					Buy (add'l)	12/29/16	J		
22. Driehaus Frontier Emerging Markets (DRFRX)		None	J	T	Buy	12/29/16	J		
23. Fidelity Contrafund (FCNTX)	A	Dividend	J	T	Buy	06/29/16	J		
24.					Buy (add'l)	12/29/16	J		
25. FMI Large Cap Fund (FMIHX)		None			Buy	06/29/16	J		
26.					Sold	11/17/16	J		
27. FMI Large Cap Fund Inst (FMIQX)	A	Dividend	J	T	Buy	11/17/16	J		
28.					Buy (add'l)	12/29/16	J		
29. Glenmede Secured Options (GTSOX)		None	J	T	Buy	12/14/16	J		
30.					Buy (add'l)	12/29/16	J		
31. JPMorgan Mid Cap Value (FLMVX)	A	Dividend	J	T	Buy	06/29/16	J		
32. Oberweis Int'l Opportunity Fund (OBIIX)	A	Dividend	J	T	Buy	06/29/16	J		
33.					Buy (add'l)	12/29/16	J		
34. Schooner Hedged Alt. Income (SHAIX)	A	Dividend			Buy	06/29/16	J		

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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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.					Sold	12/13/16	J		
36. Stone Ridge All Asset Variance (AVRPX)	A	Dividend	J	T	Buy	07/11/16	J		
37. Stone Ridge Reinsurance Risk (SRRIX)	A	Dividend	J	T	Buy	08/19/16	J		
38. Touchstone Small Cap Fund (TSFYX)	A	Dividend	J	T	Buy	06/29/16	J		
39. Voya Midcap Opportunity Fund I (NMCIX)	A	Dividend	J	T	Buy	06/29/16	J		
40.					Buy (add'l)	12/29/16	J		
41. Voya Scrutinized Credit (VCFIX)	A	Dividend	J	T	Buy	08/31/16	J		
42.					Buy (add'l)	12/29/16	J		
43. Brokerage Account #2 (H)									
44. Morgan Stanley (cash) (Y)									
45. Microsoft (Y)									
46. Metlife Ins Co of Connecticut Annuity (variable) (H)									
47. Pimco Total Return		None	K	T					
48. Pioneer Strat Income		None	J	T					
49. Met Eaton Floating		None	K	T					
50. MFS Emerging Markets		None	J	T					
51. Amer Funds Growth		None	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	

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52. Harris Oakmark Intl		None	J	T					
53. Met Intl SM Company		None	J	T					
54. Brock Bond Income		None	J	T					
55. Neub Berman Genesis		None	J	T					
56. MFSValue Portfolio A		None	J	T					
57. LMIS Say SMCap Core		None	J	T					
58. Clarion Global Real		None	J	T					
59. IRA #1 (H)									
60. Schwab Money Market (SWGXX)	A	Interest	J	T					
61. FMI Large Cap (FMIHX)		None			Sold (part)	07/06/16	J		
62.					Sold	11/17/16	M		
63. FMI Large Cap Fund INST (FMIQX)	D	Dividend	M	T	Buy	11/17/16	M		
64. Fidelity Contrafund (FCNTX)	C	Dividend	M	T	Sold (part)	07/06/16	J		
65. JP Morgan Mid-Cap Value Fund (FLMVX)	C	Dividend	K	T	Sold (part)	07/06/16	J		
66. Touchstone Small Cap Core (TSFYX)	A	Dividend	K	T					
67. Artisan International Fund (ARTIX)		None			Sold	07/21/16	L		
68. Dodge & Cox International Stock Fund (DODFX)	B	Dividend	L	T					

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69. Oakmark International Small Cap Fund (OAKEX)		None			Sold	03/15/16	K		
70. DoubleLine Total Return Bond I (DBLTX)	B	Interest	L	T	Buy (add'l)	02/09/16	K		
71.					Sold (part)	06/06/16	K		
72. American Beacon Bridgeway Lg Cap (BWLXX)	B	Dividend	M	T					
73. Angel Oak Flexible Income (ANFIX)	C	Dividend	L	T	Sold (part)	02/12/16	K		
74. Angel Oak Multi-Strategy Income (ANGIX)	B	Dividend			Sold	08/03/16	K		
75. Artisan INTL Funds ADV (APDIX)	A	Dividend	L	T	Buy	07/21/16	L		
76. Ashmore Emerging Markets Frontier (EFEIX)	A	Dividend	K	T					
77. Driehaus Frontier EMRG (DRFRX)	A	Dividend	K	T	Buy	07/12/16	K		
78. Glenmede Secured Options (GTSOX)		None	L	T	Buy	12/14/16	L		
79. Oberweis INTL OPPTY FD (OBIIX)	A	Dividend	K	T	Buy	03/16/16	K		
80. Voya MidCap Opportunities (NMCIX)	B	Dividend	K	T					
81. Riverpark Short Term Hi Yield (RPHIX)	B	Dividend	K	T					
82. Schooner Hedged Alt Income (SHAIX)	D	Dividend			Sold	12/13/16	L		
83. Stoneridge All Asset Risk Premium (AVRPX)	D	Dividend	M	T	Buy (add'l)	02/16/16	K		
84. StoneRidge Reinsurance Risk Premium Fd (SRPIX)	D	Dividend	L	T					
85. Stone Ridge ALT Lending (LENDX)	C	Dividend	L	T	Buy	06/07/16	L		

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86. Wasatch Frontier Emerging Sm Countries (WAFMX)		None			Sold	07/11/16	K		
87. Legg Mason BW Alternative Cr. Fd (LMANX)	A	Dividend			Sold	06/06/16	K		
88. Palmer Square Income Plus Fund (PSYPX)		None			Sold	02/08/16	K		
89. VOYA Securitized Credit (VCFIX)	A	Dividend	K	T	Buy	08/31/16	K		
90. IRA #2 (H)									
91. Angel Flexible Income (ANFIX)	A	Dividend	J	T					
92. Angel Oak Multi-Strategy Fund (ANGIX)	A	Dividend	J	T					
93. Double Line Total Return Bond (DBLTX)	A	Dividend	J	T					
94. PIMCO Total Return Fund (PTTRX)	A	Dividend	J	T					
95. Dodge & Cox International Stock Fund (DODFX)	A	Dividend	J	T					
96. Fidelity Contra Fund (FCNTX)	A	Dividend	J	T					
97. FMI Large Cap (FMHIX)		None			Sold	11/17/16	J		
98. FMI Large Cap FD INST (FMIQX)	A	Dividend	J	T	Buy	11/17/16	J		
99. Oakmark International Sm Cap Fd (OAKEX)	A	Dividend	J	T					
100. Touchstone Small Cap Core (TSFYX)	A	Dividend	J	T					
101. Voya Midcap Opportunity Fund (NMCIX)	A	Dividend	J	T					
102. AMG Yackman Fund (YACKX)	A	Dividend	J	T					

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103. Stoneridge All Asset (AVRPX)	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
104. Stoneridge Reinsurance Risk Premium Fund (SRRIX)	A	Dividend	J	T					
105. Wasatch Frontier Emerging Sm Countries (WAFMX) (Y)									
106. Schwab MM (SWGXX) (Y)									
107. Trust #1 (H)									
108. Cash - Charles Schwab	A	Int./Div.	M	T					
109. Alps Alerian MLP ETF		None			Sold	01/14/16	L		
110. Deutsch X Trks MSCI ERP (DBEU)	D	Dividend	M	T	Buy	01/14/16	M		
111. Doubleline Total Return (DBLTX)	C	Dividend	M	T					
112. Eaton Vance Floating Rate (EIFHX)	B	Dividend	M	T	Sold	01/14/16	M		
113.					Buy	07/27/16	M		
114. Vaneck Vectors Unco Oil (FRAK)	A	Dividend	K	T	Buy	01/14/16	K		
115.					Sold (part)	07/27/16	J	C	
116. Matthews Asia Dividend (MIPIX)	C	Dividend	M	T	Sold (part)	04/29/16	K	B	
117. Pershing Square Ord Fund		None	L	T	Sold (part)	07/28/16	J		
118. SPDR S&P Oil & Gas Expl (XOP)		None			Sold	01/14/16	K		
119. TCW Total Return Bond Fund (TGLMX)	D	Dividend	M	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	

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Name of Person Reporting

Pregerson, Dean D.

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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 I (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)
120. Vanguard Growth (VUG)	C	Dividend	M	T					
121. Vanguard Mid Cap Value Index (VMVAX)	C	Dividend	M	T					
122. Vanguard Small Cap (VB)		None			Sold	01/14/16	L		
123. Vanguard 500 Index Fund (VFIAX)	D	Dividend	N	T	Sold (part)	04/29/16	K	D	
124. WCM Focused Int'l Growth Fund (WCMIX)	C	Dividend	M	T	Sold (part)	04/29/16	J	A	
125. Wisdomtree Europe Hedged Equity (HEDJ)		None			Sold	01/14/16	M		
126. iShares Russell 2000 (IWM)	B	Dividend	L	T	Buy	01/14/16	L		
127. JP Morgan Chase Alerian (AMJ)	D	Dividend	L	T	Buy	01/14/16	L		
128.					Sold (part)	07/27/16	K	C	

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	

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

Part VII, line 46: Income is not attributed to the individual assets within this annuity.

Part VII, line 102: Name change; see 2015, line 99.

The account listed in Part VII, lines 17-46 of the 2015 report are not reportable in 2016 (Y).

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Name of Person Reporting

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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/ **Dean D. Pregerson**

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