

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) ADLER, JAN M.	2. Court or Organization US DISTRICT COURT, SDCA	3. Date of Report 05/13/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US MAGISTRATE JUDGE FULL-TIME	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address UNITED STATES DISTRICT COURT 940 FRONT STREET, ROOM 2140 SAN DIEGO, CA 92101-8928		
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	EQUITY PARTNERS SPECIAL PURPOSE LLC
2.	CO-TRUSTEE	TRUST #1
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. 2013	FEE INCOME FROM FORMER LAW FIRM TO BE COLLECTED FOR WORK PERFORMED BEFORE LEAVING THE FIRM, APPROXIMATELY \$35,000 PER YEAR THROUGH 2025.
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. 2013	EQUITY PARTNERS SPECIAL PURPOSE LLC- MEMBER INCOME	\$27,314.00
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. 2013	Nuskin; redeemed value of ADR points
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. Centro Universitario de Brasilia	05/24/13 - 05/31/13	Brasilia and Rio de Janeiro, Brazil	Speaker, International Seminar on Mediation and Arbitration	airfare, transportation, meals and hotel
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. TRUST #1									
2. AMERIPRISE BROKERAGE ACCOUNT		None	J	T					
3. ---AMCAP CL A	D	Dividend	L	T					
4. ---AMERICAN BALANCED CL A	B	Dividend	L	T					
5. ---AMERICAN MONEY MARKET CL A		None			Sold	07/31/13	J		
6. ---AMERICAN SHORT TERM TAX EXEMPT BOND CL A	A	Dividend	L	T					
7. ---CAPITAL INCOME BUILDER CL A	B	Dividend	L	T	Buy	12/20/13	K		
8. ---GROWTH FUND OF AMERICA CL A	C	Dividend	K	T					
9. ---LIMITED TERM TAX EXEMPT BOND AMERICA CL A	C	Dividend	L	T	Sold (part)	12/10/13	K		
10. ---NEW PERSPECTIVE CL A	C	Dividend	L	T					
11. ---NEW WORLD CL A	B	Dividend	L	T					
12. ---WASHINGTON MUTUAL INVESTORS CL A	C	Dividend	M	T					
13. COLUMBIA FUNDS		None			Sold	01/15/13	J		
14. AMERIPRISE BROKERAGE ACCOUNT IRA #1 - MM		None	J	T	Sold (part)	08/13/13	L		
15. --- CAPITAL INCOME BUILDER - CL A	B	Dividend	L	T					
16. --- CAPITAL WORLD GROWTH & INCOME - A	A	Dividend	K	T					
17. ---MANAGERS YACKTMAN FOCUSED SERVICE CL	B	Dividend	L	T	Buy	08/13/13	L		

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. --- NEW PERSPECTIVE - A	C	Dividend	L	T					
19. --- NEW WORLD	A	Dividend	K	T					
20. ---PIMCO REAL RETURN BOND - A	A	Dividend	K	T	Sold (part)	07/31/13	K	A	
21. ---PIMCO ALL ASSET - A	C	Dividend	L	T	Sold (part)	07/31/13	K		
22.					Sold (part)	07/31/13	J		
23. ---HCP INCOME	B	Dividend	K	T					
24. ---CNL LIFESTYLE PROPERTIES INC REIT	B	Distribution	K	T					
25. ---INLAND AMERICAN	C	Distribution	K	T					
26. --- FUNDAMENTAL INVESTORS - A	B	Dividend	L	T					
27. AMERIPRISE BROKERAGE ACCOUNT IRA #2 - MM		None	J	T					
28. --- CAPITAL INCOME BUILDER - A	A	Dividend	K	T					
29. --- CAPITAL WORLD GROWTH & INCOME	A	Dividend	K	T					
30. AMERIPRISE ONE FINANCIAL ACCOUNT		None	M	T	Buy (add'l)	01/04/13	L		
31.					Buy (add'l)	04/18/13	J		
32.					Buy (add'l)	07/17/13	J		
33.					Buy (add'l)	08/13/13	J		
34.					Buy (add'l)	08/13/13	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	
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35. ---INTERMEDIATE BOND FUND OF AMERICA CL A	B	Dividend	L	T	Sold (part)	04/30/13	K		
36.					Sold (part)	12/19/13	K		
37. ---FRANKLIN FEDERAL INTERMEDIATE TERM TAX-FREE FUND - A	D	Dividend	L	T	Sold (part)	4/30/13	L		
38.					Sold (part)	07/11/13	K		
39.					Sold (part)	12/19/13	L		
40.					Sold (part)	12/19/13	L		
41. ---FRANKLIN FEDERAL LIMITED TERM TAX FREE INCOME CA	A	Dividend	L	T	Buy	12/29/13	L		
42. ---CALVERT TAX FREE BOND - A	B	Dividend			Sold	10/17/13	L		
43. ---CNL HEALTHCARE TR INC	C	Dividend	L	T					
44. STRATEGIC PORTFOLIO SERVICE ADVANTAGE		None	K	T	Sold (part)	01/04/13	L		
45.					Sold (part)	08/13/13	J		
46. ---BARON SMALL CAP FUND	B	Dividend	L	T					
47. ---BLACKROCK INTERMEDIATE MUNICIPAL INVESTOR CL A	A	Dividend			Sold	07/31/13	L		
48. ---COLUMBIA DIVIDEND OPPORTUNITY CL A	C	Dividend	L	T					
49. ---FIDELITY ADVISOR STRATEGIC REAL RETURN	A	Dividend			Sold (part)	07/31/13	J		
50.					Sold	07/31/13	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		
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51. ---FIDELITY ADVANTAGE STRATEGIC INCOME	B	Dividend			Sold (part)	07/31/13	K		
52.					Sold (part)	12/19/13	K		
53.					Sold	12/19/13	J	A	
54. ---1ST EAGLE GLOBAL - A FIRST EAGLE FUND	C	Dividend	L	T					
55. ---FRANKLIN FEDERAL INTERMEDIATE TAX FREE INCOME CL A	A	Dividend	L	T	Buy	08/13/13	L		
56. ---FRANKLIN MANAGED TR RISING DIVIDEND FUND CL A	A	Dividend	L	T					
57. ---FRANKLIN STRATEGIC INCOME CL A	B	Dividend	L	T	Buy	08/13/13	K		
58.					Buy (add'l)	12/19/13	K		
59. ---GABELLI ASSET AAA	C	Dividend	L	T					
60. ---JANUS VENTURE CL A	C	Dividend	K	T					
61. ---LEGG MASON PARTNERS MID CAP CORE A n/k/a CLEARBRIDGE MIDCAP CORE	D	Dividend	L	T					
62. ---NUVEEN CALIFORNIA MUNICIPAL BOND CL A	A	Dividend			Sold	07/31/13	K		
63. ---VIRTUS REAL ESTATE SECURITIES	C	Dividend	K	T					
64. ---S&P 500 ETF TRUST (SPDR) UNIT SER I	B	Dividend	L	T					
65. ---VANGUARD TOTAL STOCK MARKET	A	Dividend	K	T					
66. STRATEGIC PORTFOLIO SERVICE ADVANTAGE, IRA		None	L	T	Sold (part)	08/13/13	L		

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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67. ---COLUMBIA US GOV'T MORTGAGE - A	A	Dividend			Sold	07/31/13	K	B	
68. ---COLUMBIA ACORN - A	D	Dividend	L	T					
69. ---COLUMBIA DIVIDEND OPPORTUNITY CL A	C	Dividend	L	T					
70. ---DOUBLELINE TOTAL RETURN BOND CL N	B	Dividend	K	T					
71. ---BLACKROCK NATIONAL RESOURCES - A	A	Dividend	K	T					
72. ---S&P (SPDR) GOLD TRUST		None	K	T					
73. ---HSBC BANK USA WILMINGTON DELAWARE STRUCTED CD 5/31/12	A	Interest			Matured	05/31/13	J		
74. ---HSBC BANK USA WILMINGTON DELAWARE STRUCTED CD 6/28/13	A	Interest			Matured	06/28/13	J		
75. ---HSBC BANK USA WILMINGTON DELAWARE STRUCTED CD 8/1/13	A	Interest			Matured	08/01/13	J		
76. ---HSBC BANK USA WILMINGTON DELAWARE STRUCTED CD 8/29/13	A	Interest			Matured	08/29/13	J		
77. ---HSBC BANK USA WILMINGTON DELAWARE STRUCTED CD 11/29/13		None			Matured	11/29/13	J		
78. ---FIDELITY ADVANTAGE STRATEGIC REAL RETURN - A	A	Dividend			Sold	07/31/13	K	D	
79. ---FIDELITY ADVANTAGE STRATEGIC INCOME - A	B	Dividend	K	T					
80. ---1ST EAGLE US VALUE - A FIRST EAGLE FUND	B	Dividend	L	T					
81. ---FRANKLIN RISING DIVIDENDS	A	Dividend	K	T					
82. ---FRANKLIN STRATEGIC INCOME CA	A	Dividend	K	T	Buy	08/13/13	K		
83. ---MANAGERS YACKTMAN FOCUSED SERVICE CL	A	Dividend	K	T	Buy	08/01/13	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 = \$50,001 - \$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	
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84.					Buy (add'l)	09/13/13	J		
85.					Buy (add'l)	10/14/13	J		
86.					Buy (add'l)	11/13/13	J		
87.					Buy (add'l)	12/13/13	J		
88. ---MANNING & NAPIER FUND PRO BLEND MODERATE TERM CL A	C	Dividend	L	T	Buy	08/30/13	K		
89.					Buy (add'l)	09/25/13	K		
90.					Buy (add'l)	10/24/13	K		
91.					Buy (add'l)	12/02/13	K		
92. ---NUVEEN SANTA BARBARA GROWTH CL A	A	Dividend	K	T					
93. ---WEITZ SHORT INTERIM INCOME	B	Dividend	L	T					
94. ---VANGUARD TOTAL STOCK MARKET	A	Dividend	K	T					
95. RIVERSOURCE LIFE INSURANCE CO RAVA 5 - COLUMBIA VP		None	N	T					
96. RIVERSOURCE RETIREMENT ADVISOR 4 - VP MODERATE CL 4		None	M	T					
97. RIVERSOURCE LIFE PROTECTION PLUS UL INSURANCE		None	M	T					
98. JP MORGAN CHASE BANK ACCOUNTS	A	Interest	J	T					
99. FIDELITY ADVISOR #1		None	K	T					
100. FIDELITY ADVISOR #2		None	L	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 = \$5,001,001 - \$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	
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101. METLIFE, INC.	A	Dividend			Sold	03/22/13	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	

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

05/13/2014

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

PART VII, LINE 2: HEADER FOR INVESTMENTS LINES 2-98 HELD IN TRUST #1

PART VII, LINE 101: SEE AMENDMENTS FILED FOR YEARS 2011 & 2012

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

ADLER, JAN M.

Date of Report

05/13/2014

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/ JAN M. ADLER

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