

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) Neiman, Kenneth P.	2. Court or Organization U.S. Federal District Court	3. Date of Report 04/21/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) 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 300 State Street, Suite 250 Springfield, MA 01105		
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. Partner	Neiman & Fierst: 50% Ownership of Rental Property #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. 2013	Adjunct faculty (Western New England University School of Law)	\$8,550.00
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	Self-employed clinical social worker
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. New York Intellectual Property Law Ass'n	March 22, 2013	New York, New York	Annual Dinner in Honor of Federal Judiciary	hotel, dinner, travel
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.)*

<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.		
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. Rental Property #1, Northampton, MA	E	Rent	N	S					
2. TDBank Savings Acct.	A	Interest	L	T					
3. New England Securities Brokerage Account (pars. 4-22)									
4. Dreyfus Insured Deposits	A	Interest	J	T					
5. Fidelity Floating Rate High Income Mutual Fund	A	Dividend	J	T					
6. Goldman Sachs Global Income Mutual Funds	A	Dividend	K	T	Buy (add'l)	02/28/13	J		
7.					Sold (part)	08/29/13	J		
8.					Sold (part)	10/31/13	J		
9. Index ETF TR50 Hedge Multi-Strategy Fund	A	Dividend	J	T					
10. iShares TR (Morningstar) Large Cap Growth Index Fund	A	Dividend	J	T					
11. iShares TR Russell Mid-Cap Index Fund	A	Dividend	J	T					
12. iShares TR S&P Global 100 Index Funds	A	Dividend	J	T					
13. iShares TR Russell 2000 Index Fund	A	Dividend	J	T	Sold (part)	08/15/13	J		
14. Powershares Exchange Traded Fund	A	Dividend	J	T					
15. SPDR Ser TR Barclays High Yield Bond Fund	A	Dividend	J	T	Sold (part)	06/21/13	J		
16. U.S. Commodity Index Fund		None	J	T					
17. Vanguard Intl Equity Index Fund Inc. FTSE All World	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	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. Vanguard Intl Equity Index Funds MSCI Emerging Markets	A	Dividend	J	T					
19. Vanguard Index FDS REIT ETF	A	Dividend	J	T	Buy	01/23/13	J		
20. iShares Tr. MSCI ACWI Index	A	Dividend	J	T	Buy	06/24/13	J		
21. Goldman Sachs Strategic Income Fund	A	Dividend	J	T	Buy	08/29/13	J		
22. Franklin Low Duration Total Return Fund	A	Dividend	J	T	Buy	10/31/13	J		
23. New Eng. Securities Ret. Acct. (pars. 24-52)									
24. Berkshire Hathaway Class B		None	K	T	Sold (part)	06/21/13	K		
25. Dreyfus Insured Deposits	A	Interest	J	T					
26. Loomis Sayles Investment Grade Bond Fd. Class C	A	Dividend			Sold	01/02/13	J		
27. Loomis Sayles Strategic Income Fund Class C	A	Dividend			Sold	01/02/13	J		
28. iShares Barclay Bond Fund		None			Sold	01/02/13	K		
29. SPDR Gold Trust		None			Sold	01/02/13	K		
30. Fidelity Advisor Strategic Income Class C	A	Int./Div.			Sold	01/02/13	J		
31. Loomis Sayles Bond Fund	A	Int./Div.			Sold	01/02/13	K		
32. Pimco Total Return Class C	A	Int./Div.			Sold	01/02/13	K		
33. iShares Russell 2000 Index Fund	A	Dividend	J	T	Buy	01/02/13	J		
34.					Sold (part)	08/15/13	J		

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35. Goldman Sachs Global Income Fund Inst. Class	A	Dividend	K	T	Buy	01/02/13	K		
36.					Buy (add'l)	07/08/13	J		
37. IShares (Morningstar) Large Cap Growth Income Fund	A	Dividend	J	T	Buy	01/02/13	J		
38.					Buy (add'l)	07/08/13	J		
39. Index IQ Hedge Multi-Strategy Tracker Fund	A	Dividend	J	T	Buy	01/02/13	J		
40. Fidelity Floating Rate High Income Fund	A	Dividend	J	T	Buy	01/02/13	J		
41. Vanguard Index FDS REIT Fund	A	Dividend	J	T	Buy	01/02/13	J		
42. Vanguard Int'l Equity Emerging Mkt Fund	A	Dividend	J	T	Buy	01/02/13	J		
43.					Buy (add'l)	07/08/13	J		
44. Vanguard Int'l Equity All World Fund	A	Dividend	K	T	Buy	01/02/13	K		
45.					Buy (add'l)	07/08/13	J		
46. U.S. Commodity Index Fund		None	J	T	Buy	01/02/13	J		
47. SPDR Barclay High Yield Bd. Fund	A	Dividend	J	T	Buy	01/02/13	K		
48.					Sold (part)	06/21/13	J		
49. IShares S&P Global 100 Index Fund	A	Dividend	J	T	Buy	01/02/13	J		
50.					Buy (add'l)	07/08/13	J		
51. IShares MSCI Index Fund	A	Dividend	J	T	Buy	06/24/13	J		

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52. Goldman Sachs Strategic Income Fund	A	Dividend	J	T	Buy	08/29/13	J		
53. New Eng. Sec. IRA (pars. 54-79)									
54. Berkshire Hathaway Fund A		None	M	T	Sold (part)	06/21/13	M		
55. Dreyfus Insured Deposits	A	Interest	J	T					
56. Black Rock Strategic Dividend Achievers Trust	A	Dividend			Sold	01/02/13	J		
57. SPDR Gold TRust		None			Sold	01/02/13	K		
58. Artio Global High Income Fund		None			Sold	01/02/13	K		
59. Harding Louvnes International Equity Portfolio Fund		None			Sold	01/02/13	K		
60. Hartford Float Rate Fund Class I	A	Int./Div.			Sold	01/02/13	K		
61. Loomis Sayles Investment Grade Bond Fund Class Y	A	Dividend			Sold	01/02/13	K		
62. Goldman Sachs Global Income Fund	B	Dividend	K	T	Buy	01/02/13	L		
63.					Buy (add'l)	07/08/13	J		
64.					Sold (part)	08/29/13	J		
65. Fidelity Floating Rate Income Fund	A	Dividend	K	T	Buy	01/02/13	J		
66.					Buy (add'l)	07/08/13	J		
67.					Buy (add'l)	07/19/13	J		
68. Index IQ Hedge Multi-Strategy Tracker	A	Dividend	K	T	Buy	01/02/13	K		

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69. SPDR Barclays High Yield Bd. Fund	B	Dividend	K	T	Buy	01/02/13	K		
70.					Sold (part)	06/21/13	J		
71. Vanguard Int'l Equity Emerging Markets Fund	A	Dividend	K	T	Buy	01/02/13	J		
72.					Buy (add'l)	07/08/13	K		
73. iShares Tr MSCI ACWI Index Fund	A	Dividend	K	T	Buy	06/24/13	J		
74.					Buy (add'l)	07/08/13	J		
75. Vanguard Index Funds REIT	A	Dividend	K	T	Buy	07/08/13	K		
76. Vanguard Int'l Equity Index All World Fund	B	Dividend	L	T	Buy	07/08/13	L		
77. U.S. Commodity Index Fund		None	K	T	Buy	07/08/13	K		
78. iShares Global 100 ETF	A	Dividend	K	T	Buy	07/08/13	J		
79. Goldman Sachs Strategic Income Fund	A	Dividend	J	T	Buy	08/29/13	J		
80. Vanguard Ret. Account Fund		None	J	T					
81. Retir. Acct., Pershing LLC Custodian (pars. 82-128)									
82. Berkshire Hathaway Fund B		None	K	T					
83. American Express Common Stock	A	Dividend	K	T	Sold (part)	01/23/13	J		
84.					Buy (add'l)	02/05/13	J		
85. Johnson & Johnson Common Stock	A	Dividend	K	T	part buy	11/25/13	J		

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86. Pershing Gov't Account Cash Reserves		None	J	T					
87. Coca Cola Corp. Common Stock	A	Dividend	K	T					
88. Pepsico Inc. Common Stock	A	Dividend	K	T	Buy (add'l)	01/28/13	J		
89. Bristol Myers Squibb Co. Common Stock	A	Dividend	K	T					
90. Nestle SA Sponsored ADRS Registered Common Stock	A	Dividend	K	T	Buy (add'l)	05/28/13	J		
91. Procter & Gamble Co. Common Stock	A	Dividend	K	T					
92. Wells Fargo & Co. Common Stock	A	Dividend	K	T					
93. Abbott Labs Common Stock	A	Dividend			Sold	08/16/13	J		
94. WalMart Stores Inc. Common Stock	A	Dividend			Sold (part)	02/15/13	J		
95.					Sold	05/30/13	J		
96. American International Group com. stock	A	Dividend	K	T	Buy (add'l)	09/04/13	J		
97. Sanofi Spons ADR	A	Dividend			Sold (part)	09/26/13	J		
98.					Sold	10/08/13	J		
99. Bank of New York Mellon Corp. Common Stock	A	Dividend	K	T	Buy (add'l)	11/13/13	J		
100. Bank of America Common Stock	A	Dividend	K	T	Sold (part)	01/09/13	J		
101.					Buy (add'l)	02/05/13	J		
102.					Buy (add'l)	08/13/13	J		

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103. Conagra Foods, Inc. Common Stock	A	Dividend			Buy (add'l)	02/22/13	J		
104.					Sold	09/11/13	J		
105. Dunkin Brands Group Inc. Common Stock	A	Dividend	K	T	Buy (add'l)	02/11/13	J		
106.					Buy (add'l)	05/07/13	J		
107.					Buy (add'l)	06/04/13	J		
108. General Motors Common Stock		None	K	T					
109. Heineken Common Stock	A	Dividend			Buy (add'l)	02/12/13	J		
110.					Sold	11/12/13	J		
111. Swatch Group AG Common Stock	A	Dividend	J	T	Buy (add'l)	10/16/13	J		
112. Sysco Group Common Stock	A	Dividend	J	T					
113. USG Corp (New) Common Stock		None			Sold	05/20/13	J		
114. Unilever PLC Spon Common Stock	A	Dividend	J	T	Buy (add'l)	05/13/13	J		
115.					Buy (add'l)	06/14/13	J		
116. FIServe Inc. Common Stock		None	J	T	Buy	10/21/13	J		
117. Morgan Stanley Common Stock	A	Dividend	K	T	Buy	01/22/13	J		
118. Walgreen Company Common Stock	A	Dividend	J	T	Buy	09/12/13	J		
119. Pernod Richard Common Stock	A	Dividend			Buy	02/27/13	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	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
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

Neiman, Kenneth P.

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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)
120.					Buy (add'l)	03/15/13	J		
121.					Sold (part)	04/10/13	J		
122.					Sold	05/17/13	J		
123. Ping An Ins. Group Common Stock	A	Dividend			Buy	05/06/13	J		
124.					Buy (add'l)	05/07/13	J		
125.					Sold (part)	06/07/13	J		
126.					Sold	09/25/13	J		
127. Microsoft Common Stock		None			Buy	09/03/13	J		
128.					Sold	10/08/13	J		
129. Capital One Savings Acct.	A	Interest	L	T					
130. Florence Savings Bank	A	Interest	J	T					
131. Allianz Annuity Retirement Plan		None	N	T					
132.									
133.									
134.									

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 (1): value method: total tax assessment value by the City as of 12/31/13: \$529,500.

Part VII (117): partial sale: 2/12/13 (J value); partial buys: 6/24/13, 9/25/13, 10/17/13, and 11/14/13. (all with J value codes).

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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/ **Kenneth P. Neiman**

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