

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Pfaelzer, Mariana R.	2. Court or Organization Central District of California	3. Date of Report 5/11/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. District Court 312 North 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. Insert signature on last page.		

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, Board of Trustees	Norton Simon Museum
2.	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.		
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. VARIOUS	DISTRIBUTION FROM RETIREMENT ACCOUNT FROM JUDICIAL RETIREES & SURVIVORS (ADMIN OFFICE OF THE US COURTS)	\$174,000.00
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.	
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.)*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. Wells Fargo Bank IRA (CDs)	A	Interest	L	T					
2.	D	Distribution							See Section VIII
3. Wells Fargo Checking	A	Interest	M	T					
4. Wells Fargo IRA # 1 (U.S. Treasury Notes and Cash)	B	Interest	P1	T					
5.	G	Distribution							See Section VIII
6. Wells Fargo Custody Account # 1-header									
7. -Shares Wells Fargo Money Market Fund	A	Interest	P1	T					
8. - CA State Economic 5.25% 1/1/11 - 100K	C	Interest			Matured	01/01/11	L		
9. - CA State Economic 5.0% 1/1/11 - 100K	B	Interest			Matured	01/01/11	L		
10. - CA State 5% - 3/1/25 - 125K	C	Interest			Redeemed	03/01/11	M		
11. - CA State 5.125% - 6/1/31 - 165K	C	Interest			Redeemed	06/01/11	M		
12. - VR CA State Economic 5.0% - 7/1/23 - 300K	D	Interest			Redeemed	07/01/11	N		
13. - VR CA State Economic 3.5% - 7/1/23 - 100K	C	Interest			Redeemed	07/01/11	L		
14. - VR CA State Economic 5.0% - 7/1/23 - 500K	E	Interest			Redeemed	03/01/11	N		
15. - US Treasury Notes 4.25% - 1/15/11 - 100K	B	Interest			Matured	01/15/11	L		
16. - US Treasury Notes 4.5% - 2/28/11 - 100K	B	Interest			Matured	02/28/11	L		
17. - US Treasury Notes 4.625% - 8/31/11 - 200K	D	Interest			Matured	08/31/11	M		

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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	(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)

18. - US Treasury Notes 4.5% - 9/30/11 - 400K	E	Interest			Matured	09/30/11	N		
19. - US Treasury Notes 4.625% - 10/31/11 - 300K	D	Interest			Matured	10/31/11	N		
20. - US Treasury Notes 4.875% - 7/31/11 - 300K	D	Interest			Matured	07/31/11	N		
21. - US Treasury Notes 5.0% - 8/15/11 - 100K	C	Interest			Matured	08/15/11	L		
22. - US Treasury Notes 4.875% - 4/30/11 - 400K	D	Interest			Matured	04/30/11	N		
23. - US Treasury Notes 4.875% - 5/31/11 - 300K	D	Interest			Matured	05/31/11	N		
24. - US Treasury Notes 5.125% - 6/30/11 - 200K	D	Interest			Matured	06/30/11	M		
25. - US Treasury Notes 4.5% - 11/30/11 - 100K	C	Interest			Matured	11/30/11	L		
26. - US Treasury Notes 4.625% - 12/31/11 - 100K	B	Interest			Matured	12/31/11	L		
27. - US Treasury Notes 4.75% - 1/31/12 - 100K	C	Interest	M	T					
28. - US Treasury Notes 1.75% - 11/15/11 - 400K	D	Interest			Matured	11/15/11	N		
29. - US Treasury Notes 1.125% - 12/15/11 - 300K	C	Interest			Matured	12/15/11	N		
30. - US Treasury Notes 0.875% - 3/31/11 - 100K	A	Interest			Matured	03/31/11	L		
31. - US Treasury Notes 1.1250% - 1/15/12 - 200K	B	Interest	M	T					
32. - US Treasury Notes 1.375% - 5/15/12 - 400K	D	Interest	N	T					
33. - US Treasury Notes 1.375% - 2/15/12 - 300K	C	Interest	N	T					
34. - US Treasury Notes 1.5% - 7/15/12 - 200K	C	Interest	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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	(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. - US Treasury Notes 4.75% - 3/31/11 - 200K	C	Interest			Matured	03/31/11	M		
36. - US Treasury Notes 4.75% - 5/31/12 - 100K	C	Interest	M	T					
37. - US Treasury Notes 2.00% - 11/30/13 - 100K	B	Interest	M	T					
38. - US Treasury Notes 1.50% - 12/31/13 - 100K	B	Interest	M	T					
39. - US Treasury Notes 1.875% - 6/15/12 - 200K	C	Interest	M	T					
40. - US Treasury Notes 1.75% - 4/15/13 - 100K	B	Interest	M	T					
41. - US Treasury Notes 1.375% - 3/15/13 - 100K	B	Interest	M	T					
42. - US Treasury Notes 1.375% - 2/15/13 - 200K	B	Interest	M	T	Buy (add'l)	01/05/11	M		
43. - US Treasury Notes 1.375% - 5/15/13 - 200K	B	Interest	M	T	Buy (add'l)	01/05/11	M		
44. - US Treasury Notes 1.375% - 3/15/12 - 200K	C	Interest	M	T					
45. - US Treasury Notes 1.375% - 4/15/12 - 300K	C	Interest	N	T					
46. - US Treasury Notes 1.375% - 9/15/12 - 100K	B	Interest	M	T					
47. - US Treasury Notes 1.375% - 10/15/12 - 100K	B	Interest	M	T					
48. - US Treasury Notes 1.375% - 11/15/12 - 100K	B	Interest	M	T					
49. - US Treasury Notes 1.375% - 1/15/13 - 200K	B	Interest	M	T					
50. - US Treasury Notes 1.125% - 12/15/12 - 200K	B	Interest	M	T					
51. - US Treasury Notes 0.50% - 10/15/13 - 200K	A	Interest	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	
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52. - US Treasury Notes 0.75% - 8/15/13 - 200K	B	Interest	M	T					
53. - US Treasury Notes 0.75% - 9/15/13 - 100K	A	Interest	M	T					
54. - US Treasury Notes 1.00% - 07/15/13 - 200K	B	Interest	M	T					
55. - US Treasury Notes 4.00% - 02/15/14 - 300K	C	Interest	N	T	Buy	05/03/11	N		
56. - US Treasury Notes 4.75% - 05/15/14 - 200K	D	Interest	M	T	Buy	05/03/11	M		
57. - US Treasury Notes 1.00% - 01/15/14 - 450K	B	Interest	N	T	Buy	04/04/11	N		
58. - US Treasury Notes 1.75% - 03/31/14 - 200K	B	Interest	M	T	Buy	03/09/11	M		
59. - US Treasury Notes 1.75% - 01/31/14 - 100K	A	Interest	M	T	Buy	03/09/11	M		
60. - US Treasury Notes 1.875% - 02/28/14 - 200K	B	Interest	M	T	Buy	03/09/11	M		
61. 2010 Reservoir RD Investors LLC- Baltimore, Maryland	A	Rent	K	U					
62.	D	Distribution							See Section VIII
63. Trust # 1 - header									
64. - Shares Wells Fargo Govt Money Market Fund	A	Dividend	K	T					
65.	D	Distribution							See Section VIII
66.	E	Distribution							

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.)*

VII. page 4, # 2. Distribution from # 1
VII. page 4, # 5. Distribution from # 4
VII. page 7, # 62. Distribution from # 61
VII. page 7, # 65. Distribution from # 62

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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/ Mariana R. Pfaelzer**

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