

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Klein, Sandra R.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 01/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 255 E. Temple Street Suite 1582 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ **NONE** (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2017

- Salary & bonus

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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.	U.S. Bank	Mortgage on Rental Property #1	O
2.	Chase	Mortgage on Rental Property #2	O
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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. Brokerage #1 (H)									
2. -Altria	B	Dividend	K	T					
3. -British Petroleum	B	Dividend	K	T					
4. -Bristol Myers Squibb	A	Dividend	K	T					
5. -Walt Disney	A	Dividend	J	T					
6. -Hewlett Packard n/k/a Hewlett Packard Enterprises	A	Dividend	J	T					
7. -HP Inc.	A	Dividend	J	T					
8. -Kraft Foods n/k/a Kraft Heinz	A	Dividend	J	T					
9. -Mondelez	A	Dividend	J	T					
10. -Microsoft	A	Dividend	J	T					
11. -Pfizer	A	Dividend	J	T					
12. -Philip Morris International	C	Dividend	L	T					
13. Annaly Capital - NLY	A	Dividend	J	T					
14. -Tyler Technologies		None	M	T					
15. -Verizon	A	Dividend	J	T					
16. -VXX		None	J	T					
17. -VPU	A	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)

18. - I-shares Silver Trust - SLV		None	J	T					
19. - Alerian MLP	A	Dividend	J	T					
20. - Carlyle Group	A	Dividend	J	T					
21. - Coca Cola	A	Dividend	J	T					
22. - Devon Energy	A	Dividend	J	T					
23. - Freeport McMoran	A	Dividend	J	T					
24. - Kinder Morgan	A	Dividend	J	T					
25. - US National Gas Fund		None	J	T					
26. - DXC Technology	A	Dividend	J	T	Spinoff (from line 6)	04/03/17	J		
27. - MFGP - Micro Focus Int'l		None	J	T	Spinoff (from line 6)	09/01/17	J		
28. - Seritage Growth Prop.	A	Dividend	J	T	Buy	10/25/17	J		
29. - Teva Pharmaceutical		None	J	T	Buy	08/28/17	J		
30. - Cash in Wells Fargo Bank Deposit Sweep Account*	A	Interest	K	T					
31.									
32. Brokerage #2 (H)									
33. -Apache	A	Dividend	J	T					
34. -Devon Energy	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	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

Page 6 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)

35. -Exxon Mobil	A	Dividend	J	T					
36. - Highmark California MMA	A	Dividend	K	T					
37.									
38. 401K #1 (fka [REDACTED] 401-K #1) (H)									
39. -UB Stable Value Fund C	C	Dividend	N	T					
40. -Vanguard Target Ret. 2025	A	Dividend	J	T					
41. - Metropolitan West Total Return	C	Dividend	N	T					
42.									
43. 401K #2 (fka Wells Fargo 401-K #2) (H)									
44. -WF Stable Value Fund	A	Dividend	M	T					
45. - US Bond Index Fund	A	Dividend	M	T					
46.									
47. Vanguard IRA #1 (H)									
48. -Vanguard Equity Income Fund	B	Dividend	J	T					
49. -Vanguard Morgan Growth Fund	C	Dividend	K	T					
50. -Vanguard Value Index Fund	C	Dividend	K	T					
51. -Vanguard Windsor Fund	B	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	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)

52. -Vanguard Lifestrategy Growth Fund	B	Dividend	K	T					
53. -Vanguard Prime Money Market Fund	A	Dividend	K	T					
54. -Vanguard Global Equity Fund	B	Dividend	J	T					
55. -Vanguard Pacific Stock Index Fund	B	Dividend	J	T					
56. -Vanguard Wellington Fund	C	Dividend	K	T					
57. -Vanguard Energy Fund	B	Dividend	K	T					
58. -Vanguard Strategic Equity Fund	C	Dividend	K	T					
59. -Vanguard REIT Index Fund	B	Dividend	K	T					
60.									
61. Vanguard 529 Plan #1 (H)									
62. - Vanguard Income Fund	A	Dividend			Sold	05/16/17	J	A	
63.									
64. Vanguard 529 Plan #2 (H)									
65. - Vanguard Income Fund	A	Dividend	J	T					
66.									
67. Vanguard 529 Plan #3 (H)									
68. - Vanguard Income Fund	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	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
69.									
70. Brokerage #3 (H)									
71. -WF Calif. MMA (fka Wells Fargo Calif. MMA)	A	Dividend	M	T					
72. -Altria	A	Dividend	J	T					
73. -British Petroleum	A	Dividend	J	T					
74. -Bristol Myers Squibb	A	Dividend	J	T					
75. -General Electric	A	Dividend	J	T					
76. -Pfizer	A	Dividend	J	T					
77. -Philip Morris Int'l	A	Dividend	K	T					
78.									
79. Brokerage #4 (H)									
80. -Highmark Calif. MMA	A	Dividend	K	T					
81. -Apache	A	Dividend	J	T					
82. -Coca Cola	A	Dividend	J	T					
83. -Devon Energy	A	Dividend	J	T					
84. -Exxon Mobil	A	Dividend	J	T					
85.									

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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
86. Fidelity Brokerage #5 (H)									
87. -Fidelity Cash Reserves	A	Dividend	L	T					
88. -Fidelity Worldwide	A	Dividend			Sold	06/01/17	L	E	
89. -Fidelity Asset Manager 70%	B	Dividend	L	T					
90. -Fidelity Magellan	A	Dividend			Sold	06/01/17	L	D	
91. -Fidelity Growth & Income	B	Dividend	N	T					
92.									
93. Fidelity IRA #2 (H)									
94. - Fidelity Gov't Money Market Fund	A	Dividend	K	T					
95. -Fidelity Stock Selector Large Cap Value	A	Dividend			Sold	06/01/17	K	D	
96. -Fidelity Focused Stock Fund (fka Fidelity Fifty Fund)	A	Dividend			Sold	06/01/17	K	D	
97. -Fidelity Balanced	B	Dividend			Sold	06/01/17	L	E	
98. -Fidelity Select Energy	A	Dividend			Sold	06/01/17	J	B	
99. -Fidelity Value	A	Dividend			Sold	06/01/17	K	D	
100.									
101. Fidelity IRA #3 (H)									
102. -Fidelity Real Estate Investment	A	Dividend			Sold	06/01/17	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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
103. -Fidelity Select Energy	A	Dividend			Sold	06/01/17	K	B	
104. -Fidelity Select Defense & Aerospace	B	Dividend			Sold	06/01/17	K	D	
105.									
106. Fidelity Brokerage #6 (Joint) (H)									
107. -Calif. MMA Account	A	Interest			Sold	06/06/17	K	A	
108.									
109. Rental property #1 - Redondo Beach, CA	E	Rent	O	W					
110. Rental property #2 - Redondo Beach, CA	F	Rent	P1	W					
111. Rental property #3 - Redondo Beach, CA	E	Rent	O	W					
112.									
113. Brokerage #7 (H)									
114. - MUFJ	A	Dividend	K	T					
115.									
116. IRA #4 (H)									
117. ABBVIE INC COM	A	Dividend	J	T	Buy	06/12/17	K		
118. ACTIVISION BLIZZARD INC		None	J	T	Buy	08/04/17	J		
119. AETNA INC NEW COM		None	J	T	Buy	11/21/17	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

Page 11 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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.					Sold (part)	12/13/17	J	A	
121. AGILENT TECHNOLOGIES INC COM	A	Dividend	J	T	Buy	07/05/17	J		
122. ALLIANCE DATA SYSTEMS CORP COM		None	J	T	Buy	07/25/17	J		
123.					Sold (part)	09/21/17	J		
124. ALLSTATE CORP COM		None	J	T	Buy	11/21/17	J		
125. ALTRIA GROUP INC COM	A	Dividend	J	T	Buy	07/25/17	J		
126.					Sold (part)	11/08/17	J		
127. AMAZON COM INC COM		None	J	T	Buy	07/05/17	J		
128. APPLE INC COM	A	Dividend	J	T	Buy	06/11/17	J		
129. APPLIED MATLS INC COM	A	Dividend	J	T	Buy	10/16/17	J		
130. BROADCOM LTD SHS	A	Dividend	J	T	Buy	07/05/17	J		
131. BROADRIDGE FINL SOLUTIONS INC COM	A	Dividend	J	T	Buy	07/25/17	J		
132. CDW CORP COM	A	Dividend	J	T	Buy	11/21/17	J		
133. CHEMED CORP NEW COM	A	Dividend	J	T	Buy	07/05/17	J		
134. CHURCH & DWIGHT INC COM	A	Dividend	J	T	Buy	08/28/17	J		
135. CINTAS CORP COM		None	J	T	Buy	12/13/17	J		
136. COLUMBIA ETF TR II EMRG MARKETS ETF	A	Dividend	J	T	Buy	06/09/17	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
137. CONOCOPHILLIPS COM	A	Dividend	J	T	Buy	06/12/17	J		
138. COSTCO WHSL CORP NEW COM	A	Dividend	J	T	Buy	06/12/17	J		
139.					Buy (add'l)	07/05/17	J		
140. DUPONT FABROS TECHNOLOGY INC COM		None	J	T	Buy	09/13/17	J		
141. DXC TECHNOLOGY COMPANY COMMON S		None	J	T	Buy	09/21/17	J		
142. EXPEDIA INC DEL COM NEW	A	Dividend	J	T	Buy	07/25/17	J		
143.					Buy (add'l)	07/31/17	J		
144.					Sold (part)	09/25/17	J		
145. FINANCIAL SELECT SECTOR (SPDR)	A	Dividend	J	T	Buy	06/08/17	J		
146.					Buy (add'l)	07/25/17	J		
147.					Buy (add'l)	11/09/17	J		
148. HASBRO INC COM		None	J	T	Buy	09/27/17	J		
149. KROGER CO COM	A	Dividend	J	T	Buy	07/25/17	J		
150. L3 TECHNOLOGIES INC COM	A	Dividend	J	T	Buy	07/25/17	J		
151. LAM RESEARCH CORP COM	A	Dividend	J	T	Buy	06/12/17	J		
152.					Buy (add'l)	07/25/17	J		
153. LOWES COS INC COM	A	Dividend	J	T	Buy	09/13/17	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

Page 13 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
154. MARATHON PETE CORP COM	A	Dividend	J	T	Buy	07/25/17	J		
155. MERCK & CO INC NEW COM	A	Dividend	J	T	Buy	07/05/17	J		
156. MICROSOFT CORP COM	A	Dividend	J	T	Buy	11/08/17	J		
157. NEWELL BRANDS INC COM		None			Buy	09/13/17	J		
158.					Sold	11/13/17	J		
159. OWENS CORNING NEW COM	A	Dividend	J	T	Buy	08/28/17	J		
160. PACKAGING CORP AMER COM	A	Dividend	J	T	Buy	08/28/17	J		
161. QUEST DIAGNOSTICS INC COM	A	Dividend			Buy	08/28/17	J		
162.					Sold	11/21/17	J		
163. ROSS STORES INC COM	A	Dividend	J	T	Buy	07/25/17	J		
164. SOUTHWEST AIRLS CO COM	A	Dividend	J	T	Buy	09/25/17	J		
165. SPDR SERIES TRUST OILGAS EQUIP	A	Dividend	J	T	Buy	09/25/17	J		
166.					Buy (add'l)	11/09/17	J		
167. STRYKER CORP COM		None	J	T	Buy	11/21/17	J		
168. UGI CORP NEW COM	A	Dividend	J	T	Buy	06/24/17	J		
169. UNION PAC CORP COM	A	Dividend	J	T	Buy	07/25/17	J		
170. V F CORP COM	A	Dividend	J	T	Buy	11/08/17	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

Page 14 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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)
171. VALERO ENERGY CORP NEW COM	A	Dividend	J	T	Buy	07/25/17	J		
172. VANGUARD INTL EQUITY INDEX FD ALLWRLD EX US	A	Dividend	K	T	Buy	06/09/17	K		
173. VANGUARD INTL EQUITY INDEX FD FTSE EMR MKT ETF		None	J	T	Buy	06/09/17	J		
174. VISA INC COM CL A	A	Dividend	J	T	Buy	09/06/17	J		
175. VULCAN MATLS CO COM	A	Dividend	J	T	Buy	09/13/17	J		
176. XL GROUP LTD COM		None			Buy	07/25/17	J		
177.					Sold	09/06/17	J		
178. ZOETIS INC CL A	A	Dividend	J	T	Buy	07/05/17	J		
179.									
180.									
181.									
182.									
183.									

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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

Klein, Sandra R.

Date of Report

01/04/2019

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/ **Sandra R. Klein**

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