

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 10/31/2016
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 01/01/2015 to 12/31/2015
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. Custodian	West,pimt Asset Management U/CA/UTMA
3. Custodian	West,pimt Asset Management U/CA/UTMA
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2015	Metlife Insurance Co. Annuity	\$48,500.00
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.)*

DATE	SOURCE 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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. Community Property A/C (H)									
2. - Cash - Morgan Stanley	A	Interest	J	T					
3. - Microsoft - Morgan Stanley	D	Dividend	N	T	Sold (part)	08/05/15	L	D	
4. - Metlife Ins Co of Connecticut Annuity (variable) Morg Stnly (H)									
5. Pimco Total Return		None	K	T					
6. Pioneer Strat Income		None	J	T					
7. Met Eaton Floating		None	K	T					
8. MFS Emerging Markets		None	J	T					
9. Amer Funds Growth		None	J	T					
10. Harris Oakmark Intl		None	J	T					
11. Met Intl SM Company		None	J	T					
12. Brock Bond Income		None	J	T					
13. Neub Berman Genesis		None	J	T					
14. MFSValue Portfolio A		None	J	T					
15. LMIS Say SMCap Core		None	J	T					
16. Clarion Global Real		None	J	T					
17. Child B (H)									

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 (See Columns C1 and D3)	J = \$15,001 - \$50,000 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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

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18. - Wendys International Inc	A	Dividend	J	T					
19. - Angel Oak Multi Strategy	A	Dividend	J	T					
20. - FMI Large Cap	B	Dividend	J	T					
21. - Fidelity Contrafund	B	Dividend	K	T					
22. - JP Morgan Mid-Cap Value Fund	A	Dividend	J	T					
23. -- Legg Mason BW Alternative Credit Fund (x)	A	Dividend	J	T	Buy (add'l)	05/01/15	J		
24. - Loomis Sayles Small Cap Growth	A	Dividend			Sold	03/10/15	J	B	
25. - Touchstone Small Cap Core	A	Dividend	J	T					
26. - Artisan International Fund	A	Dividend	J	T	Buy (add'l)	03/12/15	J		
27. -- American Beacon Bridgeway Large Cap	A	Dividend	K	T	Buy	10/13/15	K		
28. -- Angel Oak Flexible Income	A	Dividend	J	T	Buy	02/04/15	J		
29. -- Ashmore Emerging Markets	A	Dividend	J	T	Buy	08/07/15	J		
30. - Dodge & Cox International Stock Fund	A	Dividend	J	T	Buy (add'l)	03/12/15	J		
31. - Oakmark International Small Cap Fund	A	Dividend	J	T					
32. - Aston/River Road Independent Value	A	Dividend			Sold	02/02/15	J	A	
33. - Center Coast MLP Focus Instl	A	Dividend			Sold	04/01/15	J	A	
34. - Riverpark Short Term Hi Yield	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	

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35. -- Schooner Hedged Alt Income	A	Dividend	J	T	Buy	12/15/15	J		
36. -- Stoneridge All Asset	A	Dividend	J	T	Buy	04/10/15	J		
37. - Stoneridge Reinsurance Risk	A	Dividend	J	T					
38. - DoubleLine Total Return Bond I	A	Int./Div.	J	T					
39. - Vanguard Interim-Tre04/29rm Tax-Exempt Bond Fund	A	Int./Div.			Sold	04/29/15	J	A	
40. - Schwab AMT Tax-Free Money Fund	A	Int./Div.	J	T					
41. - ING Midcap Oppty Fund now Voya Midcap Opportunities 2014	A	Dividend	J	T					
42. - Mainstay Marketfield Fund	A	Dividend			Sold (part)	02/02/15	J	A	
43.					Sold	04/01/15	J	A	
44. - Wasatch Emrg Mkt Small Cap	A	Dividend			Sold	08/05/15	J	A	
45. - Wasatch Frontier Emerging Sm Cap	A	Dividend	J	T					
46. - AMG Yacktman Fund	A	Dividend			Sold	10/8/15	K	A	
47. AB Global Evolution Frontier Mkts Income	A	Dividend			Sold	12/11/15	J	A	
48. Palmer Square Income Plus Fund	A	Dividend	J	T					
49. IRA #1 (H)									
50. -Schwab Money Market	A	Interest	J	T					
51. FMI Large Cap	D	Dividend	M	T	Buy (add'l)	12/18/15	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
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52.					Sold (part)	07/06/15	J	A	
53. Fidelity Contrafund	D	Dividend	M	T	Sold (part)	07/06/15	J	B	
54. JP Morgan Mid-Cap Value Fund	B	Dividend	K	T					
55. Loomis Sayles Small Cap Growth	A	Dividend			Sold	03/11/15	K	D	
56. Touchstone Small Cap Core	C	Dividend	K	T					
57. Artisan International Fund	A	Dividend	L	T	Buy (add'l)	03/12/15	K		
58.					Sold (part)	07/06/15	J	A	
59. Dodge & Cox International Stock Fund	B	Dividend	L	T	Buy (add'l)	03/12/15	K		
60.					Buy (add'l)	12/21/15	J		
61. Oakmark International Small Cap Fund	B	Dividend	K	T	Buy (add'l)	12/17/15	J		
62. Aston/River Road INdependent Value	A	Dividend			Sold	02/18/15	L	A	
63. Mainstay Marketfield Fund	A	Dividend			Sold (part)	02/18/15	K	C	
64.					Sold	04/02/15	K	B	
65. UBS E-Tracs Alerian MLP Infrastructure ETN.	A	Dividend			Sold	04/07/15	L	D	
66. DoubleLine Total Return Bond I	A	Interest	K	T					
67. American Beacon Bridgeway Lg Cap	C	Dividend	L	T	Buy	10/31/15	L		
68.					Buy (add'l)	12/22/15	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	
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69. Angel Oak Flexible Income	C	Dividend	L	T	Buy	02/19/15	L		
70. Angel Oak Multi-Strategy Income	A	Dividend	K	T					
71. Ashmore Emerging Markets Frontier	A	Dividend	K	T	Buy	08/07/15	K		
72. ING Mid Cap changed to Voya MidCap Opportunities in 2014	C	Dividend	K	T					
73. Wasatch Emerging Market Small Cap	A	Dividend			Sold	08/06/15	K	B	
74. AMG Yackman Fund	A	Dividend			Sold	10/9/15	L	C	
75. Riverpark Short Term Hi Yield	A	Dividend	K	T					
76. Schooner Hedged Alt Income	A	Dividend	L	T	Buy	12/15/15	L		
77. Stoneridge All Asset Risk Premium	B	Dividend	L	T	Buy	04/10/15	L		
78.					Buy (add'l)	12/10/15	J		
79. StoneRidge Reinsurance Risk Premium Fd	D	Dividend	L	T	Buy (add'l)	12/10/15	J		
80. Wasatch Frontier Emerging Sm Countries	A	Dividend	K	T					
81. AB Global Evolution Frontier Mkts	D	Dividend			Sold	12/14/15	L	A	
82. Legg Mason BW Alternative Cr. Fd	A	Dividend	K	T					
83. Palmer Square Income Plus Fund	A	Dividend	K	T					
84. IRA #2 (H)									
85. Angel Flexible Income	A	Dividend	J	T	Buy	09/19/15	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	

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86. Angel Oak Multi-Strategy Fund	A	Dividend	J	T					
87. Double Line Total Return Bond	A	Dividend	J	T					
88. PIMCO Total Return Fund	A	Dividend	J	T					
89. Aston River Road	A	Dividend			Sold	02/18/15	J	A	
90. Dodge & Cox International Stock Fund	A	Dividend	J	T					
91. Fidelity Contra Fund	A	Dividend	J	T					
92. FMI Large Cap	A	Dividend	J	T					
93. Mainstay Marketfield Fund	A	Dividend			Sold (part)	02/18/15	J	A	
94.					Sold	04/02/15	J	A	
95. Oakmark International Sm Cap Fd	A	Dividend	J	T					
96. Touchstone Small Cap Core	A	Dividend	J	T					
97. Voya Midcap Opportunity Fund	A	Dividend	J	T					
98. UBS AG Jersey	A	Dividend			Sold	04/07/15	J	A	
99. AM Yacktman Fund	A	Dividend	J	T					
100. Stoneridge All Asset	A	Dividend	J	T	Buy	04/10/15	J		
101. Stoneridge Reinsurance Risk Premium Fund	A	Dividend	J	T					
102. Wasatch Frontier Emerging Sm Countries	A	Dividend	J	T					

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103. Schwab MM	A	Int./Div.	J	T					
104. Real Estate, Pacific Palisades (X)	D	Rent	P1	W					
105. ---2012 IRREV TRUST									
106. Cash - Charles Schwab (X)	A	Int./Div.	J	T					
107. Aberdeen Global Small Cap (X)	A	Dividend			Sold	02/04/15	L	B	
108. Alps Alerian MLP ETF (X)	B	Dividend	K	T	Buy (add'l)	08/24/15	K		
109. AMG Yacktman Focused Fund (X)	A	Dividend			Sold (part)	03/05/15	L	D	
110.					Sold	04/24/15	L	D	
111. Deutsche X-Trackers (X)	C	Dividend			Buy (add'l)	02/04/15	L		
112.					Buy (add'l)	04/24/15	J		
113.					Sold	08/24/15	L	A	
114. Doubleline Total Return (X)	B	Dividend	L	T					
115. Eagle MLP Strategy Fund (X)	B	Dividend			Sold	08/24/15	K	A	
116. Eaton Vance Floating Rate (X)	C	Dividend	L	T					
117. Market Vectors Unco Oil & Gas (X)	A	Dividend			Buy (add'l)	05/14/15	K		
118.					Sold	08/24/15	K	A	
119. Matthews Asia Dividend (X)	A	Dividend	L	T					

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Pregerson, Dean D.

Date of Report

10/31/2016

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. Pershing Square Ord Fund (X)	A	Dividend	K	T	Buy (add'l)	03/06/15	L		
121. SPDR S&P Oil & Gas Expl (X)	A	Dividend	K	T	Buy (add'l)	08/24/15	K		
122. TCW Total Return Bond Fund (X)	C	Dividend	L	T					
123. Tweedy Browne Worldwide High Div (X)	A	Dividend			Sold	04/24/15	L	C	
124. Vanguard Developed Markets (X)	A	Dividend			Sold (part)	02/04/15	L	A	
125.					Buy (add'l)	04/24/15	L		
126.					Sold	08/25/15	L	A	
127. Vanguard Growth (X)	B	Dividend	M	T					
128. Vanguard Mid Cap Value Index (X)	B	Dividend	M	T					
129. Vanguard Small Cap (X)	A	Dividend	K	T	Buy (add'l)	02/04/15	K		
130. Vanguard 500 Index Fund (X)	C	Dividend	M	T	Sold (part)	08/31/15	J	B	
131. WCM Focused Int'l Growth Fund (X)	A	Dividend	L	T	Buy (add'l)	08/25/15	L		
132. Wisdomtree Europe Hedged Equity (X)	D	Dividend	L	T	Buy (add'l)	08/24/15	L		
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	

Name of Person Reporting Pregerson, Dean D.	Date of Report 10/31/2016
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Pregerson, Dean D.

Date of Report

10/31/2016

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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