

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) Neiter, Richard M.	2. Court or Organization U.S. Bankruptcy Court, Central District of California	3. Date of Report 09/22/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy 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 Roybal Federal Bldg. 255 E. Temple St. #1652 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.	President	
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. 1997	Employment agreement with ST&G for deferred compensation upon terminating my shareholder interest in 2001 and retirement in 2006. See Part VIII.
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	ST&G deferred compensation	\$63,359.00
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 art consultant
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.)*

<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. IRA #1 (H)									Part VII - Header
2. -Schwab Money Market	A	Int./Div.	J	T					
3. -TR Price Emg Bond (PREMX)	E	Dividend			Buy (add'l)	06/25/13	J		
4.					Buy (add'l)	08/28/13	J		
5.					Sold	09/12/13	N		
6. - BlackRock Global Alloc (MALOX)	E	Dividend	N	T	Sold (part)	06/11/13	J	B	
7.					Buy (add'l)	08/28/13	M		
8. - Columbia Dividend Inc. Z (GSFTX)		None			Sold	03/21/13	M		
9. - Columbia Dividend Income FD (CDDRX)	D	Dividend	N	T	Buy	03/21/13	M		
10.					Sold (part)	06/11/13	K	C	
11.					Buy (add'l)	09/13/13	M		
12. - Osterweis Fund (OSTFX)	E	Dividend	N	T	Sold (part)	02/06/13	J	C	
13.					Sold (part)	06/11/13	K	D	
14.					Buy (add'l)	09/17/13	M		
15. -JPMorgan Research (JPMNX)		None	N	T	Buy (add'l)	06/12/13	J		
16.					Buy (add'l)	08/28/13	M		
17.					Buy (add'l)	09/17/13	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 H = \$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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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. -Merger Fund (MERFX)	D	Dividend	N	T	Buy (add'l)	04/05/13	J		
19.					Sold (part)	06/25/13	J	A	
20.					Buy (add'l)	09/17/13	J		
21. -Neuberger Berman Eq Inc (NBHAX)	C	Dividend			Sold (part)	04/04/13	J	B	
22.					Sold	08/28/13	M	E	
23. -PIMCO Uncons Bond (PFIUX)	C	Dividend	N	T	Buy (add'l)	08/28/13	J		
24.					Buy (add'l)	09/13/13	L		
25. -PIMCO All Asset All Aut (PAUIX)	E	Dividend	M	T	Sold (part)	04/04/13	J	A	
26.					Buy (add'l)	06/12/13	J		
27.					Sold (part)	08/28/13	N		
28.					Buy (add'l)	09/17/13	J		
29. -PIMCO Global Multi (PGAIX)	C	Dividend	N	T	Buy (add'l)	06/25/13	K		
30.					Buy (add'l)	09/17/13	J		
31. -Schwab Fund Lg Co (SFLNX)	D	Dividend	N	T	Sold (part)	02/06/13	K	C	
32.					Sold (part)	06/25/13	K	D	
33.					Buy (add'l)	09/13/13	M		
34. -Vanguard S/T Corp (VFSTX)	B	Dividend			Sold	04/04/13	M	B	

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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 \$50,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Vanguard Dividend Growth (VDIGX)	D	Dividend	N	T	Sold (part)	04/04/13	K	B	
36.					Sold (part)	06/25/13	K	B	
37.					Buy (add'l)	08/28/13	M		
38.					Buy (add'l)	09/17/13	K		
39. -Vanguard Equity Income (VEIPX)	E	Dividend	N	T	Sold (part)	04/04/13	K	C	
40.					Sold (part)	06/11/13	J	B	
41.					Buy (add'l)	08/28/13	M		
42.					Buy (add'l)	09/17/13	K		
43. -WisdomTree Emerging Mk EQ (DEM)	C	Dividend			Buy	04/08/13	M		
44.					Buy (add'l)	06/11/13	J		
45.					Buy (add'l)	06/11/13	J		
46.					Buy (add'l)	06/11/13	J		
47.					Sold	09/12/13	M		
48. IRA #2 (H)									Header
49. -Schwab One MM	A	Dividend	L	T					
50. IRA #3 (SEP) (H)									Header
51. -Schwab One MM		None	J	T					

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52. - PIMCO All Asset Fund Institutional (PAAIX)	A	Dividend	K	T	Sold (part)	11/06/13	J		
53. Trust #1 (H)									Header
54. -Schwab Money Market		None	J	T					
55. -US Bank account	A	Interest	M	T					
56. -Innovative Microtech (common stock)		None			Sold	12/30/13	J	A	Theodore B. Stolman
57. -Private Bank of California (common stock)		None			Merged (with line 58)	08/05/13	L	E	
58. Banc of California, Inc	A	Dividend	K	T					
59. - Rental Property-Los Angeles County, Ca	C	Rent	P1	W					
60. - Partial interest in [REDACTED] Association		None	J	T					
61. [REDACTED]	D	Distribution	N	W					

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

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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/ **Richard M. Neiter**

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