

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) Neff, Janet T.	2. Court or Organization US District Court Western District of Michigan	3. Date of Report 10/31/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge, Active Status	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 110 Michigan Street NW Suite 402 Grand Rapids, Michigan 49503		
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.	
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. 1989	Michigan Judges Retirement System - Pension upon Retirement from Michigan Court of Appeals
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. 2015	State of Michigan Pension	\$90,864.60
2. 2015	JP Morgan Clearing Corp	\$27,326.75
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. 2015	State of Michigan Pension
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. Grand Rapids Family Credit Union	A	Interest			Closed	09/30/15	L		
2. IRA - Charles Schwab	A	Int./Div.			Closed	03/02/15	N		
3. Chase Bank	A	Int./Div.	K	T					
4. -JP Morgan	E	Int./Div.	K	T					
5.									
6. -Fairholme Alloc Fd	A	Distribution			Sold	03/02/15	L	A	
7. -Schwab ADV Cash Reserve	A	Distribution			Sold	03/02/15	N	A	
8. -Fairholme Focused Incm	A	Distribution			Sold	03/02/15	L	A	
9. -FPA Crescent Fund Inst	A	Distribution			Sold	03/02/15	M	A	
10. -Grandeur Peak Emrg Mkts	A	Distribution			Sold	03/02/15	L	A	
11. -Grandeur Peak EMRG Mkts	A	Distribution			Sold	03/02/15	K	A	
12. -Grandeur Peak Gbl Oppty	A	Distribution			Sold	03/02/15	J	A	
13. -Iva Worldwide FD CL A	A	Distribution			Sold	03/02/15	J	A	
14. -Wasatch Frontier EMRG	A	Distribution			Sold	03/02/15	K	A	
15.									
16. -JP Morgan TR II - QWERQ	A	Dividend	K	T	Buy	03/11/15	K		
17. -Abbott Laboratories - ABT	A	Dividend	J	T	Buy	03/11/15	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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18. -Accenture PLC Ireland - ACN	A	Dividend	J	T	Buy	03/11/15	J		
19. -ACE Limited - ACE	A	Dividend	J	T	Buy	03/11/15	J		
20. -Adobe Systems Inc - ADBE	A	Dividend	J	T	Buy	03/11/15	J		
21. -AETNA Inc New- AET	A	Dividend	J	T	Buy	03/11/15	J		
22. -Alexion Pharmaceutical - ALXN	A	Dividend	J	T	Buy	03/11/15	J		
23. -Allegion Public Limited - ALLE	A	Dividend	J	T	Buy	03/11/15	J		
24. -Allergan PLC - AGN	A	Dividend	J	T	Buy	03/11/15	J		
25. -Alliance Data System Corp - ADS	A	Dividend	J	T	Buy	03/11/15	J		
26. -Alphabet Inc - GOOGL	A	Dividend	J	T	Buy	03/11/15	J		
27. -Alphabet Inc - GOOG	A	Dividend	J	T	Buy	03/11/15	J		
28. -Amazon.com Inc - AMZN	A	Dividend	J	T	Buy	03/11/15	J		
29. -Anadarko Petroleum Corp -APC	A	Dividend	J	T	Buy	03/11/15	J		
30. -Apple Inc - AAPL	A	Dividend	J	T	Buy	03/11/15	J		
31. -Aston/Fairpointe Mid Cap - ABMIX	A	Dividend	J	T	Buy	03/11/15	J		
32. -AT&T Inc - T	A	Dividend	J	T	Buy	03/11/15	J		
33. -Avago Technologies LTD - AVGO	A	Dividend	J	T	Buy	03/11/15	J		
34. -Bank of America Corp - BAC	A	Dividend	J	T	Buy	03/11/15	J		

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35. -Biogen Inc - BIIB	A	Dividend	J	T	Buy	03/11/15	J		
36. -Blackrock FDS - BRMIX	A	Dividend	K	T	Buy	03/11/15	K		
37. -Blackrock INC - BLK	A	Dividend	J	T	Buy	03/11/15	J		
38. -Blackrock International - MAIX	A	Dividend	M	T	Buy	03/11/15	M		
39. -Bristol Myers SQUIBB Co - BMY	A	Dividend	J	T	Buy	03/11/15	J		
40. -Broadcom Corp - BRCM	A	Dividend	J	T	Buy	03/11/15	J		
41. -Brown Advisory FDS - BAFHX	A	Dividend	J	T	Buy	03/11/15	J		
42. -Carnival Corp - CCL	A	Dividend	J	T	Buy	03/11/15	J		
43. -CBS Corp - CBS	A	Dividend	J	T	Buy	03/11/15	J		
44. -Celgene Corp - CELG	A	Dividend	J	T	Buy	03/11/15	J		
45. -Charles Schwab Corp - SCHW	A	Dividend	J	T	Buy	03/11/15	J		
46. -Chevron Corporation - CVX	A	Dividend	J	T	Buy	03/11/15	J		
47. -Citigroup Inc - C	A	Dividend	J	T	Buy	03/11/15	J		
48. -CMS Energy Corp - CMS	A	Dividend	J	T	Buy	03/11/15	J		
49. -Coca Cola Company - KO	A	Dividend	J	T	Buy	03/11/15	J		
50. -Cognizant Technology - CTSH	A	Dividend	J	T	Buy	03/11/15	J		
51. -Colgate Palmolive Company - CL	A	Dividend	J	T	Buy	03/11/15	J		

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52. -Columbia Pipeline Group - CPGX	A	Dividend	J	T	Buy	03/11/15	J		
53. -Comcast Corp - CMCSA	A	Dividend	J	T	Buy	03/11/15	J		
54. -Costco Wholesale Corp - COST	A	Dividend	J	T	Buy	03/11/15	J		
55. -P Crown Holdings Inc - CCK	A	Dividend	J	T	Buy	03/11/15	J		
56. -CSX Corporation - CSX	A	Dividend	J	T	Buy	03/11/15	J		
57. -Deutsche X Tracker MSCI - DBEF	A	Dividend	J	T	Buy	03/11/15	J		
58. -Discover Financial - DFS	A	Dividend	J	T	Buy	03/11/15	J		
59. -Dish Network Corp - DISH	A	Dividend	J	T	Buy	03/11/15	J		
60. -Dodge & Cox Funds - DODFX	A	Dividend	J	T	Buy	03/11/15	J		
61. -Dow Chemical Company - DOW	A	Dividend	J	T	Buy	03/11/15	J		
62. -E I DU Pont DE Nemours - DD	A	Dividend	J	T	Buy	03/11/15	J		
63. -ELI Lilly & Co - LLY	A	Dividend	J	T	Buy	03/11/15	J		
64. -EQT Corporation - EQT	A	Dividend	J	T	Buy	03/11/15	J		
65. -Facebook Inc - FB	A	Dividend	J	T	Buy	03/11/15	J		
66. -Fidelity National - FIS	A	Dividend	J	T	Buy	03/11/15	J		
67. -General Electric Company - GE	A	Dividend	J	T	Buy	03/11/15	J		
68. -General Motors Company - GM	A	Dividend	J	T	Buy	03/11/15	J		

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69. -Gilead Sciences Inc - GILD	A	Dividend	J	T	Buy	03/11/15	J		
70. -Harman International -HAR	A	Dividend	J	T	Buy	03/11/15	J		
71. -Hartford Financial - HIG	A	Dividend	J	T	Buy	03/11/15	J		
72. -Hess Corporation - HES	A	Dividend	J	T	Buy	03/11/15	J		
73. -Home Depot Inc - HD	A	Dividend	J	T	Buy	03/11/15	J		
74. -Honeywell Intl Inc - HON	A	Dividend	J	T	Buy	03/11/15	J		
75. -HP Inc - HPQ	A	Dividend	J	T	Buy	03/11/15	J		
76. -Humana Inc - HUM	A	Dividend	J	T	Buy	03/11/15	J		
77. -Illumina Inc - ILMN	A	Dividend	J	T	Buy	03/11/15	J		
78. -JP Morgan Value - JVAIX	A	Dividend	K	T	Buy	03/11/15	K		
79. -JP Morgan TR I - VSNX	A	Dividend	J	T	Buy	03/11/15	J		
80. -L-3 Communications - LLL	A	Dividend	J	T	Buy	03/11/15	J		
81. -Lam Research Corp - LRCX	A	Dividend	J	T	Buy	03/11/15	J		
82. -Lennox Intl Inc - LII	A	Dividend	J	T	Buy	03/11/15	J		
83. -Lowes Companies Inc - LOW	A	Dividend	J	T	Buy	03/11/15	J		
84. -Marsh & McLennan -MMC	A	Dividend	J	T	Buy	03/11/15	J		
85. -Martin Marietta - MLM	A	Dividend	J	T	Buy	03/11/15	J		

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86. -Masco Corp - MAS	A	Dividend	J	T	Buy	03/11/15	J		
87. -Mastercard Incorporated - MA	A	Dividend	J	T	Buy	03/11/15	J		
88. -MCKesson Corp - MCK	A	Dividend	J	T	Buy	03/11/15	J		
89. -Metlife Inc - MET	A	Dividend	J	T	Buy	03/11/15	J		
90. -Microsoft Corp - MSFT	A	Dividend	J		Buy	03/11/15	J		
91. -Molson Coors Brewing Co - TAP	A	Dividend	J	T	Buy	03/11/15	J		
92. -Mondelez International - MDLZ	A	Dividend	J	T	Buy	03/11/15	J		
93. -Morgan Stanley - MS	A	Dividend	J	T	Buy	03/11/15	J		
94. -Nisource Inc - NI	A	Dividend	J	T	Buy	03/11/15	J		
95. -NXP Semiconductors NV - NXPI	A	Dividend	J	T	Buy	03/11/15	J		
96. -Occidental Pete Corp - OXY	A	Dividend	J	T	Buy	03/11/15	J		
97. -Paccar Inc - PCAR	A	Dividend	J	T	Buy	03/11/15	J		
98. -Pepsico Inc - PEP	A	Dividend	J	T	Buy	03/11/15	J		
99. -Pfizer Inc - PFE	A	Dividend	J	T	Buy	03/11/15	J		
100. -Pioneer Natural Resources - PXD	A	Dividend	J	T	Buy	03/11/15	J		
101. -Procter & Gamble Co - PG	A	Dividend	J	T	Buy	03/11/15	J		
102. -Schlumberger LTD - SLB	A	Dividend	J	T	Buy	03/11/15	J		

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103. -SPDR S&P 500 ETF Trust - SPY	A	Dividend	J	T	Buy	03/11/15	J		
104. -Stanley Black & Decker - SWK	A	Dividend	J	T	Buy	03/11/15	J		
105. -SVB Financial Group - SIVB	A	Dividend	J	T	Buy	03/11/15	J		
106. -Synchrony Financial - COM	A	Dividend	J	T	Buy	03/11/15	J		
107. -TE Connectivity LTD - TEL	A	Dividend	J	T	Buy	03/11/15	J		
108. -Time Warner Inc - TWX	A	Dividend	J	T	Buy	03/11/15	J		
109. -TJX Companies Inc New - TJX	A	Dividend	J	T	Buy	03/11/15	J		
110. -Twenty First Century Fox - FOXA	A	Dividend	J	T	Buy	03/11/15	J		
111. -Union Pacific Corp - UNP	A	Dividend	J	T	Buy	03/11/15	J		
112. -United Continental Hldgs - UAL	A	Dividend	J	T	Buy	03/11/15	J		
113. -United Technologies Corp - UTX	A	Dividend	J	T	Buy	03/11/15	J		
114. -United Health Group Inc - UNH	A	Dividend	J	T	Buy	03/11/15	J		
115. -Valero Energy Corp New - VLO	A	Dividend	J	T	Buy	03/11/15	J		
116. -Vertex Pharmaceuticals -VRTX	A	Dividend	J	T	Buy	03/11/15	J		
117. -Visa Inc - V	A	Dividend	J	T	Buy	03/11/15	J		
118. -Wabco Holdings Inc - WBC	A	Dividend	J	T	Buy	03/11/15	J		
119. -Walt Disney Co - DIS	A	Dividend	J	T	Buy	03/11/15	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 ~\$250,001 - \$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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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. -Wells Fargo - SGRNX	B	Dividend	K	T	Buy	03/11/15	K		
121. -Wells Fargo & Co - WFC	A	Dividend	J	T	Buy	03/11/15	J		
122. -Wisdomtree Japan Hedged - DXJ	A	Dividend	J	T	Buy	03/11/15	J		
123.									
124. -Blackrock FDS - BHYIX	A	Dividend	K	T	Buy	03/11/15	K		
125. -Dodge & Cox Income Fund - DODIX	A	Dividend	K	T	Buy	03/11/15	K		
126. -Federated Institutional - FIHBX	A	Dividend	J	T	Buy	03/11/15	J		
127. -JP Morgan Short Duration - HLLVX	A	Dividend	K	T	Buy	03/11/15	K		
128. -JP Morgan TR II - WOBDX	A	Dividend	J	T	Buy	03/11/15	J		
129. -JP Morgan TR II - OHYFX	A	Dividend	J	T	Buy	03/11/15	J		
130. -Pimco Short Term Fund - PTSHX	A	Dividend	K	T	Buy	03/11/15	K		
131. -T Rowe Price New Income - PRCIX	A	Dividend	K	T	Buy	03/11/15	K		
132. -Vanguard Short Term Bond - VBIRX	A	Dividend	K	T	Buy	03/11/15	K		
133.									
134.									
135.									
136.									

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.)*

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Name of Person Reporting

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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/ **Janet T. Neff**

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
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