

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) Klein, Sandra R.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/07/2014
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 01/01/2013 to 12/31/2013
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 11

Name of Person Reporting

Klein, Sandra R.

Date of Report

05/07/2014

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. 2013	
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. California Bankruptcy Forum	5/16/2013 - 5/18/13	San Diego, CA	25th Annual California Bankruptcy Conference	Lodging and meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Klein, Sandra R.

Date of Report

05/07/2014

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Klein, Sandra R.

Date of Report

05/07/2014

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	A	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. -Frontier Communications	A	Dividend	J	T					
7. -Hewlett Packard	A	Dividend	K	T					
8. -Kraft Foods	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	B	Dividend	K	T					
13. -Annaly Capital - NLY	A	Dividend	J	T	Buy	6/19/13	J		
14. -Tyler Technologies		None	L	T					
15. -Verizon	A	Dividend	J	T					
16. -VXX		None	J	T					
17. -VPU	A	Dividend	J	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 11

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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)

18. - I-shares Silver Trust - SLV		None	J	T	Buy	6/26/13	J		
19. - Cash in Wells Fargo Bank Deposit Sweep Account*	A	Interest	K	T					
20.									
21. Brokerage #2 (H)									
22. -Apache	A	Dividend	J	T					
23. -Devon Energy	A	Dividend	J	T					
24. -Exxon Mobil	A	Dividend	J	T					
25. - Highmark California MMA	A	Dividend	K	T					
26.									
27. 401K #1 [REDACTED]	D	Dividend	O	T					
28. -UB Stable Value Fund C									
29. -Vanguard Target Ret. 2025									
30. - Metropolitan West Total Return									
31.									
32. 401K #2 (fka Wells Fargo 401-K #2)	C	Dividend	M	T					
33. -WF Stable Value Fund									
34. - US Bond Index Fund									

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 11

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Klein, Sandra R.

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35.									
36. Vanguard IRA #1	D	Dividend	M	T					
37. -Equity Income Fund									
38. -Morgan Growth Fund									
39. -Value Index Fund									
40. -Windsor Fund									
41. -Lifestrategy Growth Fund									
42. -Prime Money Market Fund									
43. -Global Equity Fund									
44. -Pacific Stock Index Fund									
45. -Wellington Fund									
46. -Energy Fund									
47. -Strategic Equity Fund									
48. -REIT Index Fund									
49.									
50. Vanguard 529 Plan #1	A	Dividend	J	T					
51. - Income Fund									

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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	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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FINANCIAL DISCLOSURE REPORT

Page 7 of 11

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Klein, Sandra R.

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52.									
53. Vanguard 529 Plan #2	A	Dividend	J	T					
54. - Income Fund									
55.									
56. Vanguard 529 Plan #3	A	Dividend	J	T					
57. - Income Fund									
58.									
59. Brokerage #3 (H)									
60. -WF Calif. MMA (fka Wells Fargo Calif. MMA)	A	Dividend	M	T					
61. -Altria	A	Dividend	J	T					
62. -British Petroleum	A	Dividend	J	T					
63. -Bristol Myers Squibb	A	Dividend	J	T					
64. -General Electric	A	Dividend	J	T					
65. -Pfizer	A	Dividend	J	T					
66. -Philip Morris Int'l	A	Dividend	K	T					
67.									
68. Brokerage #4 (H)									

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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FINANCIAL DISCLOSURE REPORT

Page 8 of 11

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69. -Highmark Calif. MMA	A	Dividend	K	T					
70. -Apache	A	Dividend	J	T					
71. -Coca Cola	A	Dividend	J	T					
72. -Devon Energy	A	Dividend	J	T					
73. -Exxon Mobil	A	Dividend	J	T					
74.									
75. Fidelity Brokerage #5 (H)									
76. -Fidelity Cash Reserves	A	Dividend	L	T					
77. -Worldwide	A	Dividend	L	T					
78. -Asset Manager 70%	A	Dividend	L	T					
79. -Magellan	A	Dividend	L	T					
80. -Growth & Income	A	Dividend	M	T					
81.									
82. Fidelity IRA #2	E	Dividend	M	T					
83. -Stock Selector Large Cap Value									
84. -Fifty									
85. -Balanced									

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FINANCIAL DISCLOSURE REPORT

Page 9 of 11

Name of Person Reporting

Klein, Sandra R.

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86. -Select Energy									
87. -Value									
88.									
89. Fidelity IRA #3	D	Dividend	K	T					
90. -Real Estate Investment									
91. -Select Energy									
92. -Select Defense & Aerospace									
93.									
94. Fidelity Brokerage #6 (H)									
95. -Calif. MMA	A	Dividend	K	T					
96.									
97. Rental property #1 - Redondo Beach, CA	E	Rent	O	W					
98. Rental property #2 - Redondo Beach, CA	F	Rent	P1	W					
99. Rental property #3 - Redondo Beach, CA	E	Rent	O	W					
100.									
101. Brokerage #7 (H)									
102. - MUFJ	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Klein, Sandra R.

Date of Report

05/07/2014

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Klein, Sandra R.

Date of Report

05/07/2014

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