

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                          |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Neiter, Richard M.                                                                                                                                          | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, Central District of California                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>04/21/2012                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Bankruptcy Judge--full time                                                                          | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2011<br>to<br>12/31/2011 |
| <b>7. Chambers or Office Address</b><br><br>Roybal Federal Bldg.<br>255 E. Temple St. #1652<br>Los Angeles, Ca. 90012                                                                                                            |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the <b>NONE</b> box for each part where you have no reportable information. Insert signature on last page.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. | Co-trustee      | Life Insurance Trust #2            |
| 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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Name of Person Reporting

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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><br>(yours, not spouse's) |
|-------------|----------------------------|----------------------------------------|
| 1. 2011     | ST&G deferred compensation | \$65,300.00                            |
| 2.          |                            |                                        |
| 3.          |                            |                                        |
| 4.          |                            |                                        |
| 5.          |                            |                                        |
| 6.          |                            |                                        |

**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. 2011     | self employed art dealer |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. IRA #1                                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | Part VII - Header                                                 |
| 2. -Schwab Money Market                                                                                                     | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. -Oppenheimer Intl Bond (OIBAX)                                                                                           | C                                       | Int./Div.                                     |                                                 |                                           | Sold                                            | 02/15/11                | O                               | E                              |                                                                   |
| 4. -TR Price Emg Bond (PREMX)                                                                                               | E                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 02/15/11                | L                               |                                |                                                                   |
| 5. - Alpine Intl Real Estate (EGLRX)                                                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 02/15/11                | M                               |                                |                                                                   |
| 6.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 10/07/11                | M                               |                                |                                                                   |
| 7. -Gateway Cls Y (GTEYX)                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 02/15/11                | O                               |                                |                                                                   |
| 8. - BlackRock Global Alloc (MALOX)                                                                                         | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. - PIMCO All Asset Fnd Inst Class (PAAIX)                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 02/15/11                | M                               | E                              |                                                                   |
| 10. - Lazard Emg Mkts Ints (LZEMX)                                                                                          | D                                       | Dividend                                      | M                                               | T                                         | Sold<br>(part)                                  | 02/15/11                | J                               | E                              |                                                                   |
| 11. -Muhlenkamp Fund (MUHLX)                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 10/07/11                | M                               |                                |                                                                   |
| 12. -MFS Global Eq I (MWEIX)                                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 02/15/11                | N                               | F                              |                                                                   |
| 13. - Nuveen Tradwinds Global All C<br>(NWGRX)                                                                              | E                                       | Dividend                                      | N                                               | T                                         | Buy<br>(add'l)                                  | 02/15/11                | L                               |                                |                                                                   |
| 14. - Osterweis Fund (OSTFX)                                                                                                | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. - Vanguard Inflation Protected Sec (VIPSX)                                                                              |                                         |                                               |                                                 |                                           | Sold                                            | 02/15/11                | M                               | D                              |                                                                   |
| 16. -SPDR Barclay Cap Cv (CWB)                                                                                              | C                                       | Dividend                                      |                                                 |                                           | Buy                                             | 02/16/11                | M                               |                                |                                                                   |
| 17.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 10/07/11                | M                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000                                    | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                      |   |          |   |   |                |          |   |  |                   |
|--------------------------------------|---|----------|---|---|----------------|----------|---|--|-------------------|
| 18.                                  |   |          |   |   | Sold           | 10/13/11 | J |  |                   |
| 19. -JPMorgan Research (JPMNX)       | A | Dividend | M | T | Buy            | 10/07/11 | M |  |                   |
| 20. -Merger Fund (MERFX)             | C | Dividend | M | T | Buy            | 10/07/11 | M |  |                   |
| 21. -Neuberger Berman Eq Inc (NBHAX) | C | Dividend | N | T | Buy            | 10/07/11 | N |  |                   |
| 22. -PIMCO Uncons Bond (PFIUX)       | D | Int/Div. | N | T | Buy            | 02/15/11 | O |  |                   |
| 23.                                  |   |          |   |   | Sold<br>(part) | 10/07/11 | N |  |                   |
| 24. -PIMCO All Asset All Aut (PAUIX) | E | Dividend | M | T | Buy            | 02/15/11 | M |  |                   |
| 25. -PIMCO Global Multi (PGAIX)      | E | Dividend | N | T | Buy            | 02/15/11 | N |  |                   |
| 26. -Schwab Fund Lg Co (SFLNX)       | C | Dividend | M | T | Buy            | 10/07/11 | M |  |                   |
| 27. -Vanguard S/T Corp (VFSTX)       | D | Dividend | M | T | Buy            | 02/15/11 | N |  |                   |
| 28.                                  |   |          |   |   | Sold<br>(part) | 10/07/11 | M |  |                   |
| 29. -Wasatch Emg Mkt Sm (WAEMX)      | A | Dividend | M | T | Buy            | 10/07/11 | M |  |                   |
| 30.                                  |   |          |   |   |                |          |   |  |                   |
| 31. IRA #2                           |   |          |   |   |                |          |   |  | Parat VII--header |
| 32. -Schwab One MM                   | A | Dividend | L | T |                |          |   |  |                   |
| 33. IRA #3 (SEP)                     |   |          |   |   |                |          |   |  | Part VII - Header |
| 34. -Schwab One MM                   | A | Dividend | J | T |                |          |   |  |                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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Name of Person Reporting

Neiter, Richard M.

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☐ NONE (No reportable income, assets, or transactions.)

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                 |   |              |    |   |  |  |  |  |                   |
|-----------------------------------------------------------------|---|--------------|----|---|--|--|--|--|-------------------|
| 35. - PIMCO All Asset Fund Institutional (PAAIX)                | B | Dividend     | K  | T |  |  |  |  |                   |
| 36. Trust #1                                                    |   |              |    |   |  |  |  |  | Part VII - Header |
| 37. -Schwab Money Market                                        | A | Dividend     | J  | T |  |  |  |  |                   |
| 38. IRA #5                                                      |   |              |    |   |  |  |  |  | Part VII - Header |
| 39. -Schwab One MM (Checking)                                   | A | Int./Div.    | L  | T |  |  |  |  |                   |
| 40. Trust #1                                                    |   |              |    |   |  |  |  |  | --header          |
| 41. -US Bank                                                    | A | Int./Div.    | L  | T |  |  |  |  |                   |
| 42. -Innovative Microtech (common stock)                        |   | None         | K  | U |  |  |  |  |                   |
| 43. -Private Bank of California (common stock)                  |   | None         | K  | U |  |  |  |  |                   |
| 44. -Rental Property-Los Angeles County, Ca.                    | E | Rent         | P1 | W |  |  |  |  |                   |
| 45. -Partial interest in homeowners association                 |   | None         | J  | U |  |  |  |  |                   |
| 46. -Principal Financial whole life insurance                   |   | None         | M  | T |  |  |  |  | Part VIII         |
| 47. [REDACTED]                                                  | C | Distribution | N  | U |  |  |  |  | Part VIII         |
| 48. Lincoln National Life Insurance Co. (guaranteed whole life) |   | None         | M  | T |  |  |  |  | Part VIII         |
| 49. AXA Equitable --life ins. (universal life ins.)             |   | None         | M  | T |  |  |  |  | Part VIII         |
| 50.                                                             |   |              |    |   |  |  |  |  |                   |

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

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

Part II, item 1. My employment agreement with ST&G entitles me, as a former shareholder, to a sum that was fixed upon the termination of my shareholder status in 4/01 and my retirement in 2/06. The amount paid, however, is adjusted annually (and paid monthly) and is calculated as a fraction, the numerator of which is the amount due to me, the denominator of which is the sum due to all retired shareholders who are entitled to dererred compenastion, times a senior sharehoder's compensation in the preceding year.

Part VII, item 46, [REDACTED] policy is owned by life insurance trust #2.

Part VII, item 47, [REDACTED] business.

Part VII, item 48, joint and survivor life insurance policy; owned by irrevocable trust; trustee is Richard Rosman, esq.

Part VII, item 49, universal life insurance policy; I am the insured; policy is owned by life insurance trust #2..

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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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544