

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) Klein, Sandra R.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 4/25/2016
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 01/01/2015 to 12/31/2015
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 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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. 2015	██████████ - Salary & bonus
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	5/14/2015 - 5/15/2015	Napa, CA	27th Annual California Bankruptcy Conference	Lodging and meals
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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)
1. Brokerage #1 (H)									
2. -Altria	B	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 n/k/a Hewlett Packard Enterprises	A	Dividend	J	T		10/16/15			
8. -HP Inc.	A	Dividend	J	T	Spinoff (from line 7)	10/16/15			
9. -Kraft Foods n/k/a Kraft Heinz	A	Dividend	J	T					
10. -Mondelez	A	Dividend	J	T					
11. -Microsoft	A	Dividend	J	T					
12. -Pfizer	A	Dividend	J	T					
13. -Philip Morris International	B	Dividend	K	T					
14. -Annaly Capital - NLY	A	Dividend	J	T					
15. -Tyler Technologies		None	M	T					
16. -Verizon	A	Dividend	J	T					
17. -VXX		None	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 12

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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 I (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. -VPU	A	Dividend	J	T					
19. - I-shares Silver Trust - SLV		None	J	T					
20. - Alerian MLP	A	Dividend	J	T	Buy	09/28/15	J		
21. - Carlyle Group	A	Dividend	J	T	Buy	08/26/15	J		
22. - Coca Cola	A	Dividend	J	T	Buy	08/26/15	J		
23. - Devon Energy	A	Dividend	J	T	Buy	09/29/15	J		
24. - Freeport McMoran	A	Dividend	J	T	Buy	08/26/15	J		
25. - Kinder Morgan	A	Dividend	J	T	Buy	08/26/15	J		
26. - US National Gas Fund		None	J	T	Buy	01/09/15	J		
27.									
28. - Cash in Wells Fargo Bank Deposit Sweep Account*	A	Interest	K	T					
29.									
30. Brokerage #2 (H)									
31. -Apache	A	Dividend	J	T					
32. -Devon Energy	A	Dividend	J	T					
33. -Exxon Mobil	A	Dividend	J	T					
34. - Highmark California MMA	A	Dividend	K	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

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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)

35.									
36. 401K #1 (fka Union Bank 401-K #1)	D	Dividend	O	T					
37. -UB Stable Value Fund C									
38. -Vanguard Target Ret. 2025									
39. -Metropolitan West Total Return									
40.									
41. 401K #2 (fka Wells Fargo 401-K #2)	C	Dividend	M	T					
42. -WF Stable Value Fund									
43. -US Bond Index Fund									
44.									
45. Vanguard IRA #1	D	Dividend	M	T					
46. -Equity Income Fund									
47. -Morgan Growth Fund									
48. -Value Index Fund									
49. -Windsor Fund									
50. -Lifestrategy Growth Fund									
51. -Prime Money Market Fund									

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FINANCIAL DISCLOSURE REPORT

Page 7 of 12

Name of Person Reporting

Klein, Sandra R.

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4/25/2016

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52. -Global Equity Fund									
53. -Pacific Stock Index Fund									
54. -Wellington Fund									
55. -Energy Fund									
56. -Strategic Equity Fund									
57. -REIT Index Fund									
58.									
59. Vanguard 529 Plan #1	A	Dividend	J	T					
60. - Income Fund									
61.									
62. Vanguard 529 Plan #2	A	Dividend	J	T					
63. - Income Fund									
64.									
65. Vanguard 529 Plan #3	A	Dividend	J	T					
66. - Income Fund									
67.									
68. Brokerage #3 (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 12

Name of Person Reporting

Klein, Sandra R.

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69. -WF Calif. MMA (fka Wells Fargo Calif. MMA)	A	Dividend	M	T					
70. -Altria	A	Dividend	J	T					
71. -British Petroleum	A	Dividend	J	T					
72. -Bristol Myers Squibb	A	Dividend	J	T					
73. -General Electric	A	Dividend	J	T					
74. -Pfizer	A	Dividend	J	T					
75. -Philip Morris Int'l	A	Dividend	K	T					
76.									
77. Brokerage #4 (H)									
78. -Highmark Calif. MMA	A	Dividend	K	T					
79. -Apache	A	Dividend	J	T					
80. -Coca Cola	A	Dividend	J	T					
81. -Devon Energy	A	Dividend	J	T					
82. -Exxon Mobil	A	Dividend	J	T					
83.									
84. Fidelity Brokerage #5 (H)									
85. -Fidelity Cash Reserves	A	Dividend	M	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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86. -Worldwide	A	Dividend	L	T					
87. -Asset Manager 70%	A	Dividend	L	T					
88. -Magellan	A	Dividend	L	T					
89. -Growth & Income	A	Dividend	M	T					
90.									
91. Fidelity IRA #2	A	Dividend	M	T					
92. -Stock Selector Large Cap Value									
93. -Fifty									
94. -Balanced									
95. -Select Energy									
96. -Value									
97.									
98. Fidelity IRA #3	A	Dividend	K	T					
99. -Real Estate Investment									
100. -Select Energy									
101. -Select Defense & Aerospace									
102.									

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 10 of 12

Name of Person Reporting

Klein, Sandra R.

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103. Fidelity Brokerage #6 (Joint) (H)									
104. -Calif. MMA	A	Dividend	K	T					
105.									
106. Rental property #1 - Redondo Beach, CA	E	Rent	O	W					
107. Rental property #2 - Redondo Beach, CA	F	Rent	P1	W					
108. Rental property #3 - Redondo Beach, CA	E	Rent	O	W					
109.									
110. Brokerage #7 (H)									
111. - MUFJ	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Klein, Sandra R.

Date of Report

4/25/2016

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/ 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