

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) Fogel, Jeremy D.	2. Court or Organization Federal Judicial Center	3. Date of Report 05/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - active	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 Federal Judicial Center One Columbus Circle, N.E. Washington, DC 20002-8003		
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.	Trustee	Trust #1
2.	Executor	Estate #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. 9/30/81	California Judicial Retirement System: entitled to receive approximately 61% of the current salary of a California Superior Court Judge
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	California Judicial Retirement System	\$101,200.00
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	Los Gatos-Saratoga Observation Nursery School (salary)
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. Justice Academy of Turkey	5/12-5/19	Ankara and Istanbul, Turkey	Judicial education exchange	Transportation, meals and lodging
2. Federal Circuit Bar Association	6/19-6/22	Colorado Springs, Colorado	Panelist at conference	Transportation, meals and lodging
3. American Antitrust Institute/Stanford University	8/24-/8/26	Stanford, California	Faculty member at educational program	Transportation, meals and lodging
4. Justice Academy of Turkey	10/28-11/2	Istanbul, Turkey	Panelist at anti-terrorism conference	Transportation, meals and lodging
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Fidelity Investments (assets listed below)									
2. --Fidelity California Muni Money Mkt (x)	A	Dividend	J	T	Buy	09/24/13	J		
3. --Federated High Yield Trust (x)	A	Dividend	J	T	Buy	11/13/13	J		
4. --Fidelity Strategic Income (x)	A	Dividend	J	T	Buy	11/13/13	J		
5. --Nuveen California High Yield Muni Bd (x)	A	Dividend	J	T	Buy	11/15/13	J		
6. --Pepco Holdings Inc. (x)	A	Dividend	J	T	Buy	11/15/13	J		
7. --AT&T Inc. (x)		None	J	T	Buy	11/15/13	J		
8. --BCE Inc. (x)		None	J	T	Buy	11/15/13	J		
9. --Kinder Morgan Energy Partners LP (x)		None	J	T	Buy	11/15/13	J		
10. --Portland Gen Elec Co. (x)		None	J	T	Buy	11/15/13	J		
11. --Potash Corp of Saskatchewan (x)		None	J	T	Buy	11/15/13	J		
12. Morgan Stanley IRA#1 (assets listed below)									
13. --MSDW Liquid Asset Fund	A	Int./Div.	J	T					
14. --Pioneer Mid-Cap Fund	A	Dividend	J	T					
15. --Morgan Stanley Bank	A	Interest	J	T					
16. --John Hancock Regional Bank B	A	Interest	J	T					
17. --Unit VanKampen EAFE Select 20 Portfolio 2007-1	A	Int./Div.	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$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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	(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. Morgan Stanley IRA#2 (assets listed below)									
19. --MSDW Liquid Asset Fund	A	Int./Div.	J	T					
20. --Morgan Stanley Bank	A	Interest	J	T					
21. --MSDW Global Advantage B	A	Dividend	J	T					
22. --Pioneer Mid-Cap Fund	A	Dividend	J	T					
23. --John Hancock Regional Bank A	A	Interest	J	T					
24. --MS Spectrum Tech	A	Dividend	J	T					
25. --MS Spectrum Select	A	Dividend	J	T					
26. Wells Fargo IRA (CD)	A	Interest	J	T					
27. Wells Fargo IRA (CD)	A	Interest	J	T					
28. Trust #1 (assets below)									
29. --City National Bank Ladder Account	B	Interest			Closed	07/12/13	P1		
30. --Wells Fargo Investors Brokerage Account (aggregate reporting) (X)	E	Int./Div.			Open	07/12/13	P1		
31. ----Doubleline Fds Total Return Bd Fd (X)					Buy	08/28/13	M		
32.					Sold (part)	11/18/13	K		
33. ----Pioneer Ser Tr VI Fltg Rate Fd (X)					Buy	08/28/13	M		
34.					Sold (part)	11/18/13	K		

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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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35. ----Templeton Income Tr Global Bd Fd (x)					Buy	08/28/13	M		
36.					Sold (part)	11/18/13	K		
37. ----Intel Corp. (x)					Buy	08/28/13	M		
38. ----Potash Corp. of Saskatchewan (x)					Buy	09/04/13	M		
39. ----Realty Income Corp. REIT (x)					Buy	11/18/13	K		
40. ----Teradata Corp. (x)					Buy	11/18/13	K		
41. ----Transocean Ltd. Ordinary Shares (x)					Buy	11/18/13	K		
42. Estate #1 (assets below) (x)(see part VIII)									
43. --Fidelity Investments (aggregate reporting) (x)	D	Int./Div.	K	T	Open	03/25/13	M		
44. ----AT&T Inc. (x)					Buy	03/25/13	K		
45.					Distributed (part)	07/26/13	K		
46. ----Kinder Morgan Energy Partners LP (x)					Buy	03/25/13	L		
47.					Distributed (part)	07/26/13	K		
48. ----Nuveen Select Quality Mun Fd (x)					Buy	03/25/13	K		
49.					Sold (part)	07/25/13	J	A	
50.					Distributed (part)	07/25/13	K		
51. ----Philip Morris Intl Inc. (x)					Buy	03/25/13	K		

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52.					Distributed (part)	07/26/13	K		
53. ----Verizon Communications (x)					Buy	03/25/13	K		
54.					Distributed (part)	07/26/13	J		
55. ----Senior Housing Property Trust (x)					Buy	03/25/13	K		
56.					Distributed (part)	07/26/13	K		
57. Pointright, Inc. (restructured as Pointright Holdings, Inc.		None	K	U					
58. Rental Property--Santa Clara County, CA	F	Rent	P1	W					
59. Rental Property--Placer County, CA	D	Rent	N	W					

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

Part VII, line 42:

I was named as executor of this estate. The decedent died on 01/07/13. After obtaining powers of administration, I established the listed brokerage account on 03/25/13. The assets were distributed to the beneficiaries on 07/25 and 07/26, except for a portion held for a beneficiary who under the terms of the decedent's will is not entitled to receive her share of the assets until 2014.

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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/ Jeremy D. Fogel**

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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