

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010Report 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 05/9/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address 110 Michigan St NW Suite 402 Grand Rapids, Michigan 49503	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. _____

RECEIVED
2011 MAY 23 A 9:41
FINANCIAL
DISCLOSURE OFFICE

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1989 Michigan Judges Retirement System - Pension upon Retirement from Michigan Court of Appeals
2. _____
3. _____

Neff, Janet T.

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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. 2010	State of Michigan pension	\$90,864.60
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. 2010	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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 account	A	Interest	K	T					
2. IRA - Charles Schwab	D	Int./Div.	O	T					
3. - Arbitrage Fund CI R					Sold	08/10/10	K		
4. - Akros Absolute Return Fund					Sold	05/21/10	K		
5. - American Funds New World					Sold	12/31/10	K		
6. - Berwyn Income Fund					Sold	08/13/10	K		
7. - Hussman Strategic Total Return Fund					Sold	04/29/10	L		
8. - Intrepid Small Cap					Sold	12/31/10	K		
9. - JP Morgan Strategic Incm Oppty A					Sold	05/21/10	L		
10. - JP Morgan Strategic Incm Oppty A					Buy (add'l)	01/29/10	J		
11. - JP Morgan Strategic Incm Oppty A					Buy (add'l)	02/26/10	J		
12. - JP Morgan Strategic Incm Oppty A					Buy (add'l)	03/31/10	J		
13. - JP Morgan Strategic Incm Oppty A					Buy (add'l)	04/30/10	J		
14. - Berwyn Income Fund					Buy (add'l)	03/30/10	J		
15. - Berwyn Income Fund					Buy (add'l)	06/29/10	J		
16. - Hussman Strategic Total Return Fund					Buy (add'l)	03/31/10	J		
17. - Wintergreen Fund					Buy	08/16/10	K		

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

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

P4 = More than \$50,000,000
S = Assessment
W = Estimated

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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 I (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - Akre Focus Fund Retail					Buy (add'l)	11/17/10	K		
19. - IVA Worldwide Fund Cl A					Buy (add'l)	12/15/10	J		
20. - FPA Crescent Fund Inst					Buy (add'l)	07/01/10	J		
21. - FPA Crescent Fund Inst					Buy (add'l)	12/13/10	J		
22. - Schwab Adv Cash Reserve					Sold (part)	01/04/10	K		
23. - Schwab Adv Cash Reserve					Sold (part)	01/20/10	J		
24. - Schwab Adv Cash Reserve					Sold (part)	04/21/10	J		
25. - Schwab Adv Cash Reserve					Buy (add'l)	05/03/10	L		
26. - Schwab Adv Cash Reserve					Sold (part)	05/05/10	K		
27. - Schwab Adv Cash Reserve					Buy (add'l)	05/25/10	L		
28. - Schwab Adv Cash Reserve					Sold (part)	07/09/10	J		
29. - Schwab Adv Cash Reserve					Sold (part)	08/12/10	K		
30. - Schwab Adv Cash Reserve					Sold (part)	10/29/10	J		
31. - Schwab Adv Cash Reserve					Sold (part)	11/18/10	J		
32. - American Funds New World					Buy (add'l)	12/27/10	J		
33. - Intrepid Small Cap					Buy (add'l)	12/29/10	J		
34. - Columbia Thermostat Fund Cl A					Buy	12/31/10	K		

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
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

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
Q = Appraisal
U = Book Value

3. Value Method Codes
(See Column C2)

R = Cost (Real Estate Only)
V = Other

T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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. - Meridian Growth Fund					Buy	12/31/10	K		
36. - Appleseed Fund					Sold	12/31/10	K		
37. Comerica Bank - US Savings Bonds	E	Interest			Redeemed	05/25/10	L		
38. Chase Bank	A	Int./Div.	J	T					
39.									
40.									
41.									
42.									
43.									
44.									

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

05/9/2011

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

US savings bonds cashed in 2010 were inadvertently omitted on prior financial disclosure reports. They were acquired by inheritance

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

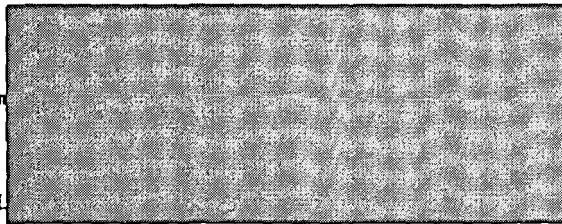
05/9/2011

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.

Sign



NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES THIS REPORT IS SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

SUBJECT TO CIVIL

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544