

October 18, 2004

George D. Reynolds, Staff Counsel  
Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, D.C. 20544

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FINANCIAL  
DISCLOSURE OFFICE

Dear Mr. Reynolds:

The following information is offered to supplement my May 12, 2004 Financial Disclosure Report.

In Part VII page 1, lines 3-11, I listed the redemption on rollover of various assets in Column D. In addition, I completed Column C for each asset listed in lines 3-11. The asset listed in line 4 was entirely disposed of. The assets listed in lines 5-10 were completely rolled over into my Investor's Fund. Column C should have been left blank and not completed. In Part VII, page 2, lines 20-23, I listed "Government Securities Investment Fund," "Common Stock Index Fund," "Small CAP Index" and "United States Savings Bonds." These assets were not owned in 2002 and therefore they were not listed in my January 7, 2003 Amended Nomination Report. The United States savings bonds (line 24) were acquired commencing March 2003, through monthly post tax deductions from my Administrative Office of the Court payroll earnings. The assets listed in lines 20-23 were also acquired commencing March 2003 through monthly payroll pre-tax deductions and credited to my Government Thrift Savings Plan Account (TSP). The value code for each asset is J. The gain code for each asset is A.

In Part VII, page 1, line 17 and page 2, line 18, I listed as assets "Washington Mutual Bank" and "L.A. Federal Credit Union." "Washington Mutual Bank" and "L.A. Federal Credit Union" were not listed in my May 12, 2004 Report. These are husband [REDACTED] checking and savings accounts. The accounts are still active. The value code for each account is J. The gain code for each account is A. In my January 7, 2003 Report, I listed in Part VII, page 2, line 19, Pre-Assembled Portfolio D. Pre-Assembled Portfolio D was part of my County of Los Angeles Deferred Compensation Account. My County Account was rolled over into the First Investor's Deferral Fund Account on August 11, 2003.

Sincerely,

[REDACTED]  
S. James Otero

# FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

COPY

|                                                                                                                                                 |                                                                                                                                                                                                                             |                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|
| 1. Person Reporting (Last name, First name, Middle initial)<br>Otero, Samuel J                                                                  | 2. Court or Organization<br>U.S. District Court                                                                                                                                                                             | 3. Date of Report<br>5/1/2004                       |
| 4. Title (Article III Judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br>U.S. District Judge, Active | 5. Report Type (check appropriate type)<br><input type="radio"/> Nomination,      Date<br><input type="radio"/> Initial <input checked="" type="radio"/> Annual <input type="radio"/> Final                                 | 6. Reporting Period<br>1/1/2003<br>to<br>12/31/2003 |
| 7. Chambers or Office Address<br>United States District Court<br>312 North Spring Street<br>Los Angeles, CA 90012                               | 8. On the basis of the information contained in this Report and any<br>modifications pertaining thereto, it is, in my opinion, in compliance<br>with applicable laws and regulations.<br>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. Director | Salesian Boys and Girls Club and Salesian Family Youth Center |

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

☐ NONE - (No reportable agreements.)

| DATE    | PARTIES AND TERMS                                                      |
|---------|------------------------------------------------------------------------|
| 1. 2003 | California Judges Retirement Plan; Pension Upon Retirement, Age 63     |
| 2. 1988 | Los Angeles Employees Retirement Plan; Pension Upon Retirement, Age 55 |

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Otero, Samuel J

Date of Report

5/1/2004

**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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

County of Los Angeles Earned Income Prior to Appointment to District Court

\$35,028

**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☐ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE

1.

Los Angeles Unified School District

**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1.

**FINANCIAL DISCLOSURE REPORT**

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**V. GIFTS.** (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE

1. \_\_\_\_\_

**VI. LIABILITIES.** (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☐ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE

|                        |              |   |
|------------------------|--------------|---|
| 1. Bank of America     | Student Loan | J |
| 2. Stanford University | Student Loan | K |
| 3. Sallie Mae          | Student Loan | K |
| 4. Citibank            | Credit Card  | J |

# FINANCIAL DISCLOSURE REPORT

Page 1 of 2

Name of Person Reporting  
Otero, Samuel J

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## VII. INVESTMENTS and TRUSTS - income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "OO" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                            | C.<br>Gross value at end of<br>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 or<br>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>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                            |                                         |                                            |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (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) |
| <input type="checkbox"/> NONE (No reportable income, assets, or transactions)                                              |                                         |                                            |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 1. Washington Mutual Investors Fund (see Part VIII, note 6)                                                                |                                         |                                            |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 2. Income Fund of America (see Part VIII, note 6)                                                                          |                                         |                                            |                                                 |                                           |                                                           |                                |                                 |                                |                                                                   |
| 3. Franklin California Tax Free Income Fund                                                                                | A                                       | Dividend                                   | K                                               | T                                         | Redemption                                                | 2/25                           | J                               | A                              |                                                                   |
| 4. City of L.A. Deferred Comp. Account Washington Mutual Liquid                                                            | B                                       | Interest                                   | F                                               | T                                         | Redemption                                                | 9/3                            | K                               | E                              |                                                                   |
| 5. County of L.A. Deferred Comp. Account Putnam Fund                                                                       | B                                       | Dividend                                   | K                                               | T                                         | Rollover                                                  | 8/11                           | K                               |                                |                                                                   |
| 6. S & P 500 Flagship                                                                                                      | B                                       | Dividend                                   | K                                               | T                                         | Rollover                                                  | 8/11                           | K                               |                                |                                                                   |
| 7. City National Bank Fund                                                                                                 | A                                       | Interest                                   | J                                               | T                                         | Rollover                                                  | 8/11                           | J                               |                                |                                                                   |
| 8. 60 Month Certificate                                                                                                    | B                                       | Interest                                   | K                                               | T                                         | Rollover                                                  | 8/11                           | K                               |                                |                                                                   |
| 9. Stable Value Fund                                                                                                       | B                                       | Interest                                   | M                                               | T                                         | Rollover                                                  | 8/11                           | M                               |                                |                                                                   |
| 10. Washington Mutual Fund                                                                                                 | A                                       | Interest                                   | J                                               | T                                         | Rollover                                                  | 8/11                           | J                               |                                |                                                                   |
| 11. F.I. Roth Retirement Account F.I. Cash Management Fund A                                                               | A                                       | Dividend                                   | M                                               | T                                         | Redemption                                                | 11/21                          | K                               |                                |                                                                   |
| 12. First Investors Investment Grade Fund A                                                                                | A                                       | Dividend                                   | K                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 13. First Investors Fund for Income                                                                                        | A                                       | Dividend                                   | K                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 14. First Investors Blue Chip Fund A                                                                                       |                                         | None                                       | L                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 15. First Investors Government Fund                                                                                        | A                                       | Dividend                                   | K                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 16. Oppenheimer Discovery Fund                                                                                             | C                                       | Dividend                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 17. Oppenheimer Equity Fund                                                                                                | B                                       | Dividend                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 18. Aviva Life Insurance Strategy Select                                                                                   | A                                       | Interest                                   | K                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |

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 = \$250,000-\$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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting  
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Date of Report  
5/1/2004

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset exempt<br>from prior disclosure | B.<br>Income during<br>reporting period |                                            | C.<br>Gross value at end of<br>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 or<br>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>merger,<br>redemption) | If not exempt from disclosure  |                                 |                                |                                                                   |
|                                                                                                                             |                                         |                                            |                                                 |                                           |                                                           | (2)<br>Date:<br>Month -<br>Day | (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) |
| 19. Great American Life Insurance                                                                                           | A                                       | Interest                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 20. Government Securities Investment Fund                                                                                   | A                                       | Interest                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 21. Common Stock Index Investment Fund                                                                                      | A                                       | Interest                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 22. Small Cap. Index                                                                                                        | A                                       | Interest                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |
| 23. United States Savings Bonds                                                                                             | A                                       | Interest                                   | J                                               | T                                         | None                                                      |                                |                                 |                                |                                                                   |

|                         |                                |                             |                              |                               |                       |
|-------------------------|--------------------------------|-----------------------------|------------------------------|-------------------------------|-----------------------|
| 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 = \$250,000-\$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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Otero, Samuel J

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5/1/2004

## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

1. Part VII, Page 1, Line 4: The Washington Mutual Liquid Fund is now the Galliard Stable Value.
2. Part VII, Page 1, Line 5 through 10: My County of Los Angeles Deferred Compensation Account was rolled over to First Investors Roth Individual Retirement Account. The rollover occurred 08-11-03.
3. Part VII, Page 11, Line 3: The gross value of this fund was incorrectly reported in my 01-07-03 Report as L. It should have been reported as K.
4. Part VII, Page 11, Line 16: This fund was incorrectly identified as Oppenheimer total return in my 01-07-03 Report.
5. Part VII, Page 21, Line 18: CGB Life Insurance Company of America strategy select is now called Aviva. In my 01-07-03 Report the value was incorrectly stated. The value code should have been K.
6. Part VII, Page 11, Lines 1 & 2: The Washington Mutual Investors Fund and Income Fund should not have been reported in my 01-07-03 Financial Disclosure Report. These funds were redeemed prior to reporting period.

**FINANCIAL DISCLOSURE REPORT**

Name of Person Reporting

Otero, Samuel J

Date of Report

5/1/2004

**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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

5/10/04

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

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

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