

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) O'Neill, Lawrence J.	2. Court or Organization Eastern District of California	3. Date of Report 07/26/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address United States Courthouse 2500 Tulare Street Fresno, California 93721		
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. Insert signature on last page.		

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.	Board of Director	Federal Bar Association
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. 1999	State of California Judges Retirement Plan (pension commences at age 62)
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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. 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. Prudential Fin Inc (Schwab acct)	C	Interest	L	T					
2. North Track Geneva Growth Fund (Schwab) IRA	A	Interest	J	T					
3. RS Global Natural Resources Fund (Schwab) IRA	B	Interest	K	T					
4. Kensington Strategic Realty Fund (Schwab) IRA	A	Distribution	J	T					
5. Dodge and Cox Stock Fund (Schwab)	C	Dividend	L	T					
6. Artisan Intl Small Cap Fund (Schwab)	B	Interest	K	T					
7. American Fund New World (Schwab)(IRA)	A	Interest	J	T					
8. Schwab US Treasury Money fund (IRA)	A	Interest	K	T					
9. Wells Fargo Bank Trust #1	A	Interest	J	T					
10. RS Global Natural (Schwab) IRA	A	Interest	J	T					
11. First Eagle Overseas (Schwab)	A	Interest	J	T					
12. American Funds New World (Schwab) IRA	A	Dividend	J	T					
13. Kensington Select Income (Schwab) IRA	A	Dividend	K	T					
14. Lingleaf Partners Fund IRA (Schwab)	A	Interest			sell	12/08/11	J		
15. Lingleaf Partners Fund IRA (Schwab) #2	A	Interest			sell	12/08/11	J		
16. Clovis Community Bank	A	Interest	J	T					
17. Argonaut Corp, Livermore, California 1985 \$84,200 Trust #1	D	Distribution	M	R					

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	

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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				
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18. Columbia Housing IX Ltd prtnr 1988 \$25,767 (trust #1)	B	Distribution	K	R					
19. Wells Fargo Bank, acct #2	A	Interest	J	T					
20. Desert Funding, Inc. Mortgage Note (Trust #1)	D	Interest	M	T					
21. Macwest Riverside Housing Inv, LLC		None	M	U					
22. California State University Revenue Muni Bond	A	Interest	K	T					
23. Oregon Go Elderly/Disabled muni bond	A	Interest	J	T					
24. Puerto Rico Electric Power Muni bond	A	Interest	K	T					
25. San Francisco Intl Airport muni Bond	A	Interest	J	T					
26. St. Louis MO Airport muni bond	A	Interest	J	T					
27. Bank of America Sub Not corporate bonds	B	Interest	K	T					
28. General Electric Cap Corporate bond	A	Interest	J	T					
29. GTE North Inc bond	A	Interest	J	T					
30. Key Bank corporate bond	B	Interest	K	T					
31. Laclede Gas Co 1st mortgage	B	Interest	J	T					
32. Pacific Bell corp bond	B	Interest	K	T					
33. Providence Gas Co bond	A	Interest	J	T					
34. Prudential Finl Inc corporate bond	B	Interest	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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35. Southwestern Bell Te. Co corporate bond	B	Interest	K	T					
36. American Funds, Fund Inv F-1	A	Dividend	K	T					
37. Capital World Growth and Income mutual fund	A	Interest	J	T					
38. Pureto Rico Convention Center bonds	B	Interest	K	T					
39. Contra Costa Community College bonds	A	Interest	J	T					
40. Encinitas Ca Public Library Construction Bonds	A	Interest	J	T					
41. Schwab Govt Money Fund: IRA--Schwab	A	Interest	K	T					
42. Morgan Stanley CD (Schwab)	B	Interest	K	T					
43. Schwab Govt Money Fund: Schwab	D	Interest	M	T					
44. TCW Total Return Bond (schwab) IRA	C	Interest	K	T					
45. JP Morgan Highbridge Stat Mkt Neutral Select CL	B	Dividend	K	T					
46. Loomis Sayles Bond C1 (Schwab) (IRA)	B	Dividend	K	T					
47. Tweedy Brown Global Fund (schwab--IRA)	B	Dividend	K	T					
48. Vanguard GNMA Fund Investor Share (IRA)	B	Dividend	K	T					
49. Schwab Ca Muni Money Fd Sweep shares	A	Interest	J	T					
50. Pimco All Asset Fund, Instit class Schwab	B	Interest	K	T					
51. SCH Ca Muni Money Fd shares (Schwab)	D	Interest	M	T					

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52. San Francisco Calif City/County Public Utility bonds	A	Dividend	K	T					
53. Dublin, Calif School Securities	A	Dividend	K	T					
54. First Eagle Overseas IRA (Schwab)	A	Dividend	K	T					
55. T Rowe Price new ERA FD	A	Dividend	J	T					
56. California Bond	B	Interest	K	T					
57. JP Morgan Highbridge Stat Mkt	A	Dividend	K	T					
58. Pimco Emrg Local Bd	A	Interest	K	T					
59. California Health stock	B	Dividend	K	T	Buy	02/04/11	K		
60. T Rowe Price New Income Fund	C	Dividend	K	T	Buy	02/04/11	K		
61. Permanent Portfolio X	A	Dividend	K	T	buy	12/08/11	J		
62. Berwyn Income Fund X	A	Dividend	K	T	buy	12/08/11	J		
63. American Fund New World X	A	Dividend	J	T	buy	12/09/11	J		
64. Market Vectors ETF Miners Fund X	A	Dividend	J	T	buy	12/12/11	J		
65. Vanguard Ca Interim Term Tax Exempt FD (Schwab)	B	Interest	K	T					

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

The Argonaut Investment at VII, line 17 was purchased more than 20 years ago (prior to taking the Bench) at an initial investment of \$50,000.

The Columbia Housing IX investment was purchased 25 years ago (prior to taking the Bench) at an initial investment of \$35,000.

All of the assets in Part VII are in the Living Trust referred to in Part I, line 1.

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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/ Lawrence J. O'Neill**

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