

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) Neff, Janet T.	2. Court or Organization US District Court Western District of Michigan	3. Date of Report 05/21/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 110 Michigan Street NW Suite 402 Grand Rapids, Michigan 49503		
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.	
2.	
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. 1989	Michigan Judges Retirement System - Pension upon Retirement from Michigan Court of Appeals
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

05/21/2014

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. 2013	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.)*

DATE	SOURCE AND TYPE
1. 2013	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

05/21/2014

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

05/21/2014

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	A	Interest	M	T					
2. IRA - Charles Schwab	E	Int./Div.	O	T					
3. Chase Bank	A	Int./Div.	J	T					
4. - Artisan Global Eqty Fd					Buy (add'l)	08/26/13	K		
5. - Artisan Global Eqty Fd					Buy (add'l)	11/21/13	J		
6. - Artisan Global Eqty Fd					Buy (add'l)	11/21/13	J		
7. - Artisan Global Eqty Fd					Sold (part)	05/23/13	L		
8. - Fairholme Alloc Fd					Sold (part)	02/21/13	M		
9. - Fairholme Alloc Fd					Buy (add'l)	09/06/13	K		
10. -Wasatch Long Short Fd					Buy (add'l)	12/27/13	J		
11. -Wasatch Long Short Fd					Buy (add'l)	12/27/13	J		
12. -Wasatch Long Short Fd					Buy	11/21/13	J		
13. - FPA Crescent Fund Inst CLShares					Buy (add'l)	01/02/13	J		
14. - FPA Crescent Fund Inst CLShares					Buy (add'l)	01/02/13	J		
15. - FPA Crescent Fund Inst CLShares					Buy (add'l)	07/01/13	J		
16. - FPA Crescent Fund Inst CLShares					Buy (add'l)	12/18/13	J		
17. - FPA Crescent Fund Inst CLShares					Buy (add'l)	12/18/13	J		

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 = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$250,000 G = \$250,001 - \$500,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$50,001 - \$100,000 Q = \$100,001 - \$250,000	L = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000 R = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P = \$250,001 - \$500,000 S = \$500,001 - \$1,000,000	T = \$1,000,001 - \$5,000,000 U = \$5,000,001 - \$25,000,000 V = \$25,000,001 - \$50,000,000
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 9

Name of Person Reporting

Neff, Janet T.

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05/21/2014

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☐ 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)

18. - FPA Crescent Fund Inst CLShares					Buy (add'l)	12/18/13	J		
19. - FPA Crescent Fund Inst CLShares					Sold (part)	05/23/13	L		
20. - FPA Intl Value Fund					Buy (add'l)	01/02/13	J		
21. - FPA Intl Value Fund					Buy (add'l)	01/02/13	J		
22. - FPA Intl Value Fund					Buy (add'l)	07/01/13	J		
23. - FPA Intl Value Fund					Buy (add'l)	07/01/13	J		
24. - FPA Intl Value Fund					Buy (add'l)	12/18/13	J		
25. - FPA Intl Value Fund					Buy (add'l)	12/18/13	J		
26. - Hennessy Gas utility Index Fd Inv Cl					Sold (part)	02/21/13	K		
27. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	06/28/13	J		
28. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	03/28/13	J		
29. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	09/30/13	J		
30. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	12/10/13	J		
31. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	12/10/13	J		
32. - Hennessy Gas utility Index Fd Inv Cl					Buy (add'l)	12/31/13	J		
33. - Grandeur Peak Gbl Oppty					Sold (part)	02/21/13	L		
34. - Grandeur Peak Gbl Oppty					Buy (add'l)	12/26/13	J		

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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 9

Name of Person Reporting

Neff, Janet T.

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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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35. - Grandeur Peak Gbl Oppty					Buy (add'l)	12/26/13	J		
36. - Grandeur Peak Gbl Oppty					Buy (add'l)	11/18/13	J		
37. - IVA worldwide Fd Cl					Buy (add'l)	12/17/13	J		
38. - IVA worldwide Fd Cl					Buy (add'l)	12/17/13	J		
39. - IVA worldwide Fd Cl					Buy (add'l)	12/17/13	J		
40. - Mainstay Marketfield Fd					Buy (add'l)	12/04/13	J		
41. - Oakseed Oppty Fd Inv					Buy	08/26/13	L		
42. - Oakseed Oppty Fd Inv					Buy (add'l)	12/09/13	J		
43. - Oakseed Oppty Fd Inv					Buy (add'l)	12/09/13	J		
44. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	08/26/13	K		
45. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	09/05/13	K		
46. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	06/27/13	J		
47. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	12/11/13	J		
48. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	12/11/13	J		
49. - Seafarer Overseas Gwth & Incm Fd					Buy (add'l)	12/11/13	J		
50. - Seafarer Overseas Gwth & Incm Fd					Sold (part)	05/23/13	K		
51. -Schwab Adv Cash Reserve					Buy (add'l)	02/22/13	N		

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

Page 7 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

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52. -Schwab Adv Cash Reserve					Buy (add'l)	05/24/13	M		
53. -Schwab Adv Cash Reserve					Sold (part)	01/10/13	J		
54. -Schwab Adv Cash Reserve					Sold (part)	04/04/13	J		
55. -Schwab Adv Cash Reserve					Sold (part)	07/11/13	J		
56. -Schwab Adv Cash Reserve					Sold (part)	10/21/13	J		
57. -Schwab Adv Cash Reserve					Sold (part)	11/21/13	J		
58. -Schwab Adv Cash Reserve					Sold (part)	11/18/13	J		
59. -Schwab Adv Cash Reserve					Sold (part)	09/05/13	K		
60. -Schwab Adv Cash Reserve					Sold (part)	05/01/13	K		
61. -Schwab Adv Cash Reserve					Sold (part)	09/06/13	K		
62. -Schwab Adv Cash Reserve					Sold (part)	01/02/13	L		
63. -Schwab Adv Cash Reserve					Sold (part)	08/26/13	M		
64. - Wasatch Frontier Emrg Sm Countries					Buy	05/01/13	K		
65. - Wasatch Frontier Emrg Sm Countries					Buy (add'l)	12/27/13	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

05/21/2014

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

05/21/2014

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/ **Janet T. Neff**

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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Washington, D.C. 20544