

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/22/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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

04/22/2020

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. 2019	State of Michigan Pension	\$90,865.00
2. 2019	JP Morgan Clearing Corp Retirement	\$29,724.88
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. 2019	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.				

Name of Person Reporting	Date of Report
Neff, Janet T.	04/22/2020

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

04/22/2020

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. Chase Bank - Deposit Account	A	Int./Div.	L	T					
2.									
3. Blackrock Index FDS Inc - BTMKX	A	Dividend	J	T					
4. Brown Advisory FDS - BAFHX		None			Sold	02/20/19	J		
5. Causeway Cap Mgmt Tr - CIVIX	A	Dividend			Sold (part)	02/14/19	J		
6.					Sold	04/05/19	J	A	
7. Dodge & Cox Funds - DODFX		None			Sold	02/20/19	J		
8. Dodge & Cox Income Fund - DODIX	A	Dividend	K	T					
9. Federated Institutional - FIHLX	A	Dividend			Sold	03/13/19	J		
10. Fidelity Salem STR TR - FXAIX	B	Dividend	M	T	Buy (add'l)	01/07/19	J		
11.					Sold (part)	04/05/19	K		
12.					Buy (add'l)	08/28/19	J		
13.					Sold (part)	10/28/19	J	C	
14. Ishares Tips Bond ETF - TIP	A	Dividend	J	T					
15. Ishares Trust - MBB	A	Dividend	K	T	Buy	02/15/19	J		
16. Ishares Trust - IEF	A	Dividend	K	T	Buy	02/21/19	J		
17. Ishares 20 Plus - TLT	A	Dividend	J	T	Buy	09/26/19	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 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	
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.

Date of Report

04/22/2020

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)
18. John Hancock FDS II - JIPRX	A	Dividend			Sold	02/14/19	J		
19. John Hancock Income Fund - JSNWX	A	Dividend			Sold	02/14/19	J		
20. JP Morgan Exchange - BBKA	A	Dividend	J	T	Buy (add'l)	04/08/19	J		
21. JP Morgan Exchange - BBAX	A	Dividend	J	T					
22. JP Morgan Exchange - BBEU	A	Dividend	K	T	Buy (add'l)	02/21/19	J		
23.					Buy (add'l)	04/08/19	J		
24.					Sold (part)	08/29/19	J		
25.					Sold (part)	10/29/19	J		
26. JP Morgan Exchange - BBJP	A	Dividend	K	T	Sold (part)	03/14/19	J		
27.					Sold (part)	10/29/19	J		
28. JP Morgan TR II - JCBUX	B	Dividend	K	T	Sold (part)	09/25/19	J		
29.					Sold (part)	10/28/19	J	A	
30. JP Morgan US Government - QVESQ	A	Dividend	J	T					
31. MFS Ser TR X - MEDHX	A	Dividend			Sold	02/20/19	J	A	
32. MFS Ser TR I - MRSKX	A	Dividend			Sold (part)	02/14/19	J		
33.					Sold	04/05/19	J	A	
34. PIMCO FDS Pac Invnt Mgmt - PIGIX	A	Dividend	K	T	Sold (part)	10/28/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	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	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)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

04/22/2020

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. PIMCO Total Return Fund - PTTRX	A	Dividend	J	T	Sold (part)	02/14/19	J		
36. Six Circles Tr - CIUEX	A	Dividend	K	T	Buy (add'l)	04/05/19	J		
37. Six Circles Tr - CUSDx	A	Dividend	J	T					
38. Six Circles Tr - CUSUX	B	Dividend	L	T	Buy (add'l)	04/05/19	J		
39.					Sold (part)	10/25/19	J	A	
40. T Rowe Price New Income - PRXEX	B	Dividend	L	T	Sold (part)	09/24/19	J		
41.					Sold (part)	10/28/19	J	A	
42. Vanguard Bond Index FD - VBTlx	A	Dividend	K	T	Buy (add'l)	02/13/19	J		
43. Vanguard Index Tr - VFIAX	B	Dividend	M	T					
44. Vanguard Fixed Income - VFIDx	A	Dividend			Sold	02/14/19	J	A	
45. Vanguard Charlotte Fd - VTABx	C	Dividend	L	T					
46. Vanguard Short Term Bond - BSV	A	Dividend			Sold (part)	01/04/19	J		
47.					Sold (part)	02/15/19	J		
48.					Buy (add'l)	03/15/19	K		
49.					Sold	09/26/19	K	A	
50. Vanguard Total Int'l Bond - BNDx	C	Dividend	L	T	Buy (add'l)	02/15/19	K		
51.					Buy (add'l)	09/26/19	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 P4 =More than \$50,000,000	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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52.					Sold (part)	10/29/19	J	A	

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	
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 8 of 9

Name of Person Reporting

Neff, Janet T.

Date of Report

04/22/2020

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

04/22/2020

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544