

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Birotte, Jr., Andre	2. Court or Organization United States District Court, Central District of California	3. Date of Report 03/20/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United State District Court 350 W. First Street Courtroom 7 B Los Angeles, CA 90012		
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.	Co-Executor	Estate #1
2.	Trustee	Trust #1
3.	Trustee	Trust #2
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.		
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. American Funds/EuroPacific Growth Fund	A	Dividend	J	T					
2. American Funds Growth Fund of America	A	Dividend	J	T					
3. American Funds Investment Company of America	A	Dividend	J	T					
4. AT&T	A	Dividend	J	T					
5. Columbia Mid-Cap Growth Fund	A	Dividend	J	T					
6. Columbia Small Cap Growth Fund	A	Dividend	J	T					
7. Fidelity Prime Capital Reserves	A	Dividend	J	T					
8. Franklin Small Cap Value Fund	A	Dividend	J	T					
9. Heartland Select Value Fund	A	Dividend	J	T					
10. iShares Russell 1000 Value Index Fund	A	Dividend	J	T					
11. iShares Russell 2000 Value Index Fund	A	Dividend	J	T					
12. iShares S&P Mid Cap 400 Growth ETF	A	Dividend	J	T					
13. iShares S&P Small Cap Growth ETF	A	Dividend	J	T					
14. iShares Small Cap 400 Growth ETF	A	Distribution	J	T					
15. Janus Fund	A	Distribution	J	T					
16. Lazard Emerging Markets Equity Portfolio	A	Dividend	J	T					
17. SPDR S&P 500 ETF Fund	A	Dividend	J	T					

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 = \$250,001 - \$500,000,000	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. Vanguard 500 Index Fund	A	Dividend	J	T					
19. Vanguard Growth Index Fund	A	Dividend	J	T					
20. Vanguard Total International Index Fund	A	Dividend	J	T					
21. iShares MSCI EAFE ETF	A	Dividend	J	T					
22. PRIME FUND CAPITAL RESERVES CLASS	G	Int./Div.	O	T					
23. ESTATE # 1									
24. Rental Property (Newark, NJ)	F	Rent	O	W					
25. Fidelity Prime Fund Capital Reserves Class	A	Interest	L	T					
26. TRUST #1									
27. iShares Growth JP Morgan USD Emerging Mkts Bond ETF	C	Int./Div.	L	W					
28. iShares Core S&P 500 ETF	D	Int./Div.	N	W					
29. iShares S&P 500 Value ETF	C	Int./Div.	M	W					
30. Vanguard FTSE Developed Mkt ETF	B	Int./Div.	K	W					
31. FPA Crescent Fund	B	Int./Div.	M	T					
32. Lord Abbett Intl Opportunities Fnd F	B	Dividend	K	T					
33. Virtus Global Real Estate Securities I	B	Dividend	L	T					
34. Beverly Hills Calif Pub Fin Auth Lease 04.0000% 06/01/18 R L	A	Interest	K	W					

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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35. Calif. Infrastructure & 02.0% 10/01/19 Econ Dev Bk Rev R	A	Interest	K	W					
36. California St GO BDS 05.00% 03/01/17	A	Interest	L	W					
37. California St GO Refunding BDS S 05.00000% 08/01/16 2007	A	Interest	K	W					
38. California St GO BDS 04.00000% 04/01/16	A	Interest	K	W					
39. California St GO BDS 04.00000% 12/01/16	A	Interest	K	W					
40. California St Var Purp GO And GO REF 05.00000% 09/01/16	A	Interest	K	W					
41. California St GO BDS 02.00000% 02/01/18	A	Interest	K	W					
42. California St Various Purp GO Ref 05.000% 02/01/17 BDS S2012	A	Interest	K	W					
43. Eastern Mun Wat Dist Calif Wtr & Swr Rev 04.00% 07/01/17 RWt	A	Interest	J	W					
44. Los Angeles CA Dept Wtr & Pwr 04.10% 07/01/18 Wtrwks RevWTRS	A	Interest	J	W					
45. Los Angeles CA Uni SD GO 05.00% 07/01/17 Refunding BDS 2	A	Interest	K	W					
46. Los Angeles CA Uni SD GO BDS 05.00% 07/01/25 Election OF	A	Interest	K	W					
47. Newport Mesa Uni SD GO Ref Ser. 2010 03.0000% 08/01/1	B	Interest	L	W					
48. Ocean Cnty NJ BDS 2010 04.00000% 08/01/17	A	Interest	K	W					
49. Sacramento Cnty CA Wtr Fin Auth 05.00% 06/01/16 Rev Wtr RevB	A	Interest	K	W					
50. San Jose Uni SD CA GO BDS 04.00000% 08/01/17	C	Interest	L	W					
51. San Mateo Calif UN HSD GO BDS 04.00% 09/01/16 Ser. 2008	A	Interest	L	W					

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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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52. Santa Monica Calif Comty Coll Dist 05.00% 08/01/16 GO BDS Se	A	Interest	L	W					
53. University California Revs Rev BDS Ser 04.00% 05/01/16 2009	A	Interest	K	W					
54. TRUST #2									
55. iShares MSCI Emerging Markets ETF	A	Dividend	M	W					
56. iShares MSCI EAFE ETF	A	Dividend	M	W					
57. iShares CORE S&P 500 ETF	D	Dividend	N	W					
58. iShares Tips Bond	A	Interest			Sold	03/01/16	J		
59. Vanguard Index Tr Vanguard Extended Market Vipers	B	Int./Div.	K	W					
60. Franklin K2 Alternate Strategies	A	Int./Div.	K	W					
61. Lord Abbett International Opportunities Fnd F	A	Dividend	K	T					
62. Mainstay High Yield Opportunities CL 1	A	Interest			Sold	01/19/16	K		
63. Claymore Exchange Traded FD TR Guggenheim Bulletshares 2022	A	Interest	L	T	Buy	12/23/16	L		
64. Claymore Exchange Traded FD TR Guggenheim Bulletshares 2020	A	Interest	K	T	Buy	12/23/16	K		
65. Claymore Exchange Traded FD TR Guggenheim Bulletshares 2019	A	Interest	K	T	Buy	12/23/16	K		
66. Metropolitan Wtr Dist Southern CA 03.5000% 07/01/21	A	Interest	L	W	Buy	12/23/16	L		
67. Beverly Hills Calif Pub Fin Authority Lease 05.00% 06/01/16	B	Interest	K	W	Sold (part)	06/01/16	K		
68. California St GO BDS 05.00% 12/01/15	A	Interest			Sold	12/01/16	L		

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69. California St GO BDS 04.00000% 12/01/16	A	Interest			Redeemed	12/01/16	L		
70. California St Veterans GO BDS Ser 02.875% 12/01/15 CF	A	Interest	K	W					
71. California St For Previous Issues See 05.00% 12/01/16 13063	A	Interest	K	W					
72. California St Dept Wtr Res Pwr Sup See 04.00% 05/01/16 Rev B	B	Interest	K	W					
73. FAIR HAVEN BOR MJ SCH DIST REF SCH BDS 04.000% 07/15/16 S200	A	Interest	J	W					
74. FREEHOLD TWP NJ GO REF BDS S 2009 04.0000% 09/15/16	A	Interest	J	W					
75. FORT LEE NJ GEN IMPT REF BDS 0.4.000% 02/15/16 2011	A	Interest	J	W					
76. LYNTHURST TWP NJ BRD ED REF BDS S2006 04.5000% 03/01/16	A	Interest	J	W					
77. Marin Calif Cmnty Coll Dist GO BDS 03.00%08/01/17 Ser B	A	Interest	K	W					
78. MEDFORD TWP NU BRD ED REF BDS S2006 04.50000% 03/01/16	A	Interest	J	W					
79. MONTCLAIR TWP NJ SCH BDS S2006 04..5000% 01/01/24	A	Interest	J	W					
80. NEW JERSEY ENVIRONMTL 05.0000% 09/01/16 INFRAS TRENVIRO	A	Interest	J	W					
81. NEW JERSEY ST TRANS TR FD AUTH REF BDS 05.5000% 12/15/16 S20	A	Interest	J	W					
82. OCEAN CNTY NJ GO REF BDS S2010 04.0000% 08/01/17	A	Interest	J	W					
83. New Jersey State Trans Bd Auth 05.50000% 12/01/16	A	Interest			Redeemed	12/23/16	J		
84. RINGWOOD NJ BRD ED SCH BDS S2011 02.5000% 09/01/16	A	Interest	J	W					
85. RUMSON FAIR HAVEN NJ REG HSD 02.00000% 02/01/16 REF BDS	A	Interest	J	W					

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86. RUTGERS ST UNIV NJ GO BDS S2009F 05.0000% 05/01/16	A	Interest	J	W					
87. San Diego Cnty Calif Wtr Auth Fingn Agy 04.00% 05/01/16 WtrR	A	Interest	J	W					
88. San Francisco Calif Cty & Cnty Uni Sch 04.00% 06/15/16 Dist	A	Interest	J	W					
89. San Francisco Calif Cty & Cnty Arpts 05.00%05/01/16 Commn In	A	Interest	J	W					
90. Santa Clara Uni SD GO BDS 04.00% 07/01/16	A	Interest	J	W	Buy	10/17/16	J		
91. Santa Monica-Malibu Uni Sch Dist Calif 05.255% 08/01/16 Ref	A	Interest	L	W					
92. Sayerville NJ Gen Imp BDS Ser 2011 02.000%	A	Interest			Redeemed	12/01/16	K		
93. Southbound Brook NJ Sch Dist 03.00000% 12/01/16	A	Interest			Redeemed	12/15/16	J		
94. SOUTH PLAINFIELD NJ SCH DIST REF BDS 05.0000% 07/01/16 S20	A	Interest	J	W					
95. SUSSEX CTY NJ CTY COLLEGE BDS 02.0000% 01/15/16 S2012	A	Interest			Redeemed	01/25/16	J		
96. SWEDSBORO WOOLWICH NJ CONS SD GO 04.00000% 02/01/16 REF SCH	A	Interest	J	W					
97. UNION CNTY NJ IMPT AUTH REV REF BDS 03.00000% 02/15/16 R SCH	A	Interest	J	W					
98. WATCHUNG HILLS NJ REG HSD 04.0000% 01/15/16 REF SCH BDS	A	Interest	J	W					
99. WEST WINDSOR TWP NJ GEN IMPT BDS S 03.50000% 11/01/16 S2007	A	Interest	J	W					
100. Universty Calif Revs for Prev. 05.0% 05/01/16 Issues See 914	A	Interest	J	W					
101.									
102.									

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

Part I has been amended by deleting reference to Trusts 3-6 for which Filer was not a managing trustee.

Part VII has been amended to delete lines 105-223, for trust in which Filer was not a beneficiary.

Part VII, lines 26, 30, 33, 36, 51, 56 and 76 on the Initial Report were deleted; assets sold prior to 2016 were inadvertently reported.

In response to October 27, 2017 letter of inquiry, p. 1, assets listed at Part VII, lines 1-103 were updated with Columns B and C information, and also lines 58, 62-69, 83, 90, 92, 93 and 95 were updated with Column D information to specify purchases, sales and redemptions within the period.

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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/ Andre Biotte, Jr.

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