

AO 10
Rev. 1/2014

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

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 04/04/2014
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 04/03/2014 ☐ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2013 to 3/28/2014
7. Chambers or Office Address 312 N. Spring Street 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.)

POSITION	NAME OF ORGANIZATION/ENTITY
1. Co-Executor	Estate #1
2. Trustee	Trust #1
3. Trustee	Trust #2
4. Trustee	Trust #3
5. Trustee	Trust #4
6. Trustee	Trust #5
7. Trustee	Trust #6
8.	
9.	
10.	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	
2.	

3.

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.		
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.)

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2014	Consulting Fees from Rehalbilitation Centers in Los Angeles County
2. 2013	Consulting Fees from Rehalbilitation Centers in Los Angeles County
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. Exempt				
2.				
3.				
4.				
5.				

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☐ NONE (No reportable gifts.)

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Exempt		
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	EdFinancial Services	Education Loans	K
2.			
3.			
4.			
5.			

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	Exempt				
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 Fund 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 Mid-Cap 400 Value ETF	A	Dividend	J	T					
14. iShares S&P Small Cap 400 Growth ETF	A	Dividend	J	T					
15. Janus Fund	A	Dividend	J	T					
16. Lazard Emerging Markets Equity Portfolio	A	Dividend	J	T					
17. SPDR S&P 500 ETF Trust	A	Dividend	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)
2. Value Codes
(See Columns C1 and D3)
3. Value Method Codes
(See Column C2)
- 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
Q =Appraisal
U =Book Value
- B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other
- 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
S =Assessment
W =Estimated
- D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market
- E =\$15,001 - \$50,000

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)
18. Vanguard 500 Index fund	A	Dividend	J	T					
19. Vanguard Growth Index Fund	A	Dividend	J	T					
20. Vanguard Total Internatinoal Index Fund	A	Dividend	J	T					
21. iShares MSCI EAFE ETF	A	Dividend	J	T					
22. Estate #1									
23. - Rental Property (Newark, NJ)	F	Rent	O	W					
24. - Trust #1	A	Interest	P1	T					
25. - - National Financial Services Cash Account									
26. - Trust #2	A	Interest	P1	T					
27. - - National Financial Services Cash Account									
28. - Trust #3	A	Interest	P1	T					
29. - - National Financial Services Cash Account									
30. - Trust #4	E	Int./Div.	P1	T					
31. - - Mainstay Marketfeild Class I									
32. - - Robeco Boston PRTNS LG/SH Research INSTL									
33. - - Putnam Capital Spectrum Fun CL Y									
34. - - Artisan International Fund									

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

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
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

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
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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	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)
35. -- iShares Russell 1000 Growth ETF									
36. -- American Washington Mutual Investors F2									
37. -- FPA Crescent Inst Share									
38. -- Yacktman									
39. -- Maxim Integrated Prods									
40. -- Atlas Resource Partners									
41. -- Metabolix Inc									
42. -- Newstar Financial Inc									
43. -- NPS Pharmaceuticals Inc									
44. -- Celgene Corp									
45. --Vanguard extended Market Vipers Index Fund									
46. -- Templeton Global Total Return Fund CL ADV									
47. -- iShares Tips Bond ETF									
48. -- SPDR SER TR Lehman Short Term Intl Treas Bd etf									
49. --Cherry Hill Twp NJ - Municipal Bond									
50. -- Hammonton NJ - Municipal Bond									
51. --Mercer Cnty NJ - Municipal Bond									

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K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
Y =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
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	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. - - New Jersey ST EDL Facs - Municipal Bond									
53. - - Ocean Cnty NJ - Municipal Bond									
54. - - DWS Commodity Security CL S									
55. - -Ashmore Emerging MKT Local Curr BD CL I									
56. - - Oppenheimer Developing Markets Y									
57. - - Virtus Global Real Estate Securities I									
58. - - Lord Abbett High Yield Fd CL F									
59. - - Prime Fund Capital Reserves Class									
60. - Trust #5	A	Interest	P1	T					
61. - - National Financial Services Cash Account									
62. - Trust #6	C	Int./Div.	P1	T					
63. - - DWS Rreef Global Infrastructure Fd CL S									
64. - - Goldman Sachs Multi-Manager Altrnv Instl									
65. - - Putnam Capital Spectrum Fund CL Y									
66. - - Artisan International Fund									
67. - - iShares MSCI EAFE ETF									
68. - - American Washington Mutual Investors F2									

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69. - - FPA Crescent Inst Share									
70. - - iShares S&P 500 Value ETF									
71. - -Atlas Resource Partners									
72. - - Goldman Sacs Small/Mid Cap Growth I									
73. - - Templeton Global Total Return Fund CL Adv									
74. - - iShares Tips Bond ETF									
75. - - SPDR SER TR Lehman Short Term Intl Treas BD ETF									
76. - - New York NY City Transitional Fin									
77. - -Somers Conn GO Ref BDS Ser. 2012 - Municipal Bond									
78. - - South Carolina St Gost Institution BDS - Municipal Bond									
79. - - Triborough Brdg & Tuml Auth NY Revs - Municipal Bond									
80. - - Fidelity Ohio Muni Money Market									

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FINANCIAL DISCLOSURE REPORT Page 10 of 11	Name of Person Reporting	Date of Report
	Birotte, Jr, Andre	04/04/2014

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

FINANCIAL DISCLOSURE REPORT Page 11 of 11	Name of Person Reporting	Date of Report
	Birotte, Jr, Andre	04/04/2014

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/ Andre Birotte, 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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		188	022	Notes payable to banks-secured (auto)		6	745
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		99	783	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable – personal residence		454	550
Real estate owned – personal residence		850	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property				Education loans		30	000
Cash value-life insurance							
Other assets itemize:							
Los Angeles Deferred Compensation Plan		178	005				
Thrift Savings Plan		6	094				
				Total liabilities		491	295
				Net Worth		830	609
Total Assets	1	321	904	Total liabilities and net worth	1	321	904
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							