

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) Collins, Audrey B.	2. Court or Organization U.S. District Court	3. Date of Report 04/30/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U. S. District Judge, Active	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 Edward Roybal Federal Building 255 E. Temple St., Ste. 670 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.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1994-2013	Los Angeles County Retirement Association (No Control)
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Los Angeles County Retirement Association (LACERA)	\$37,421.00
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. 2013	Los Angeles County Retirement Association (LACERA)
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. NBA-CLS 26th Annual Corp. Counsel Conference	February 21 - 22, 2013	Dana Point, CA	Speaker	Subsidized lodging, food, transportation to events at conference (not airfare to/from conference).
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. Chase (previously Washington Mutual)	A	Interest	K	T					
2. Charles Schwab Brokerage									
3. -- Roche Holding Company	B	Dividend	L	T					
4. -- Givaudan (split from Roche)	A	Dividend	J	T					
5. -- Schwab Money Market Fund	A	Interest	J	T					
6. Dodge & Cox Balanced Fund	A	Dividend			Sold	11/14/13	K	D	
7. American Century Ginnie Mae	A	Dividend	J	T					
8. IRA #1 - Charles Schwab	C	Dividend	N	T					
9. -- MRK									
10. -- MHS									
11. -- PHSY (Now PHS)									
12. -- Gilead									
13. -- VTSMX									
14. -- Roche Holding									
15. -- JAWWX									
16. -- FCV SX									
17. -- TWIEX									

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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18. -- TBGVX									
19. -- VFHIX									
20. -- FTCHX					Sold	3/7/13	J		
21. -- GABGX									
22. -- JAMRX									
23. -- VTSMX									
24. -- VIVAX									
25. -- NAESX									
26. IRA #2 - Charles Schwab See Section VIII									
27. -- MRK									
28. -- MHS									
29. -- PHS									
30. -- Gilead									
31. -- Integrated Devices Tech.									
32. -- Cypress Semi-Conductor									
33. -- Roche Holding									
34. -- BGNMX									

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35. Citibank Account (X) (See Sect VIII)	A	Interest	K	T					
36. Mutual Beacon	A	Dividend			Sold	11/15/13	K	C	
37. County of L.A. Savings Plan (See Sect. VIII)	A	Interest	K	T					
38. --Savings Stable Value Fund (See Sect. VIII)									
39. --Bank Depository Fund (See Sect. VIII)									
40. --Savings 2020 Target Date Fund (See Sect. VIII)									
41. T. Rowe Price Equity Income	A	Dividend			Sold	11/26/13	K	C	
42. Janus Worldwide Fund	A	Dividend			Sold	11/15/13	J	C	
43. Victory Investment Grade Convertible	A	Dividend			Sold	11/15/13	J	A	
44. Torray Fund	A	Dividend			Sold	11/15/13	K	C	
45. GAMCO Westwood Equity Fund (also known as Gabelli)	A	Dividend			Sold	11/15/13	K	C	
46. Mairs & Power Growth Fund	A	Dividend			Sold	11/15/13	K	D	
47. The Royce Fund	A	Dividend			Sold	11/15/13	J	D	
48. Greenspring Fund, Inc.	A	Dividend			Sold	11/25/13	K	C	
49. LA County Deferred Comp & Thrift Plan (See Sect VIII)	A	Interest	K	T					
50. Royalty Interest, Los Angeles County, California	B	Royalty	J	T					
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52. American Express Account (See Sect VIII)	B	Interest	J	T					
53.									

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

VII. INVESTMENTS AND TRUSTS

Line 26: On April 22, 2008, [REDACTED] rolled over [REDACTED] entire IRA to the Los Angeles County Employees Retirement Association (LACERA), another qualified distribution plan. The rolled-over funds were subsequently used to purchase additional years of County service for retirement. This IRA no longer exists. See also 2008 report at Section VIII.

Line 35: The Citibank account, formerly on line 35, failed the qualifying reporting requirements in 2011. No income was generated & its gross value was well under \$5000. However, it met the reporting requirement in 2012, and 2013.

Line 37: County of Los Angeles Savings Plan - In May and June, 2008, [REDACTED] rolled-over [REDACTED] funds from [REDACTED] County of Los Angeles Savings Plan to the Los Angeles County Employees Retirement Association (LACERA), another qualified distribution plan. The rolled-over funds were subsequently used to purchase additional years of County service for [REDACTED] retirement. However, [REDACTED] continued to contribute until [REDACTED] retirement from Los Angeles County on October 5, 2009. The value of these contributions & interest is reflected on line 37. See also 2008 Report at Section VIII for more details.

Lines 38-40: Investments within the County of Los Angeles Savings Plan - In October 2007, [REDACTED] transferred [REDACTED] investment in the County of Los Angeles to the Savings Stable Value Fund, formerly the Stable Value Fund, and the Bank Depository Fund, formerly the City National Bank Fund. See also 2008 Report at Section VIII for more details. On May 4, 2010, [REDACTED] transferred \$10,475.97 (100% of [REDACTED] investment) from the Bank Depository Fund to the Savings 2020 Target Date Fund. On May 4, 2010, [REDACTED] also transferred \$5,353.02 (50% of [REDACTED] investment in the Savings Stable Value Fund) from that fund to the Savings 2020 Target Date Fund. [REDACTED] has not been eligible to contribute and has not contributed to this plan since [REDACTED] retirement on October 5, 2009.

Line 49. Los Angeles County Deferred Compensation and Thrift Plan - In May & June, 2008, [REDACTED] rolled-over funds in his Los Angeles County Deferred Compensation and Thrift Plan to the Los Angeles County Employees Retirement Association (LACERA), another qualified distribution plan. The rolled-over funds were subsequently used to purchase additional years of County service for retirement. [REDACTED] no longer has custody or control of these funds. However, [REDACTED] continued to contribute until [REDACTED] retirement from Los Angeles County on October 5, 2009. [REDACTED] has not contributed since [REDACTED] retirement. The value of these contributions & interest is reflected on line 49.

Line 52: This account was opened in April, 2012.

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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/ Audrey B. Collins**

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
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Washington, D.C. 20544