

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) Pregerson, Dean D.	2. Court or Organization Central District of California	3. Date of Report 11/26/2014
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 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Advisory Board Member	Salvation Army Los Angeles Metropolitan
2. Custodian	West,pimt Asset Management U/CA/UTMA
3. Custodian	West,pimt Asset Management U/CA/UTMA
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	Metlife Insurance Co. Annuity	\$94,000.00
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	Self-Employed Consultant/Counselor
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.				

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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.	MorganStanley	Portfolio CreditLine	K
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. Community Property A/C (H)									
2. - Microsoft	D	Dividend	N	T					
3. - Metlife Ins Co of Connecticut Annuity		None	N	T	Distributed (part)	12/31/13	L		
4. B (H)									
5. - Wendys International Inc	A	Dividend	J	T					
6. - Israel Due 2014 7th Dev B	A	Dividend	J	T					
7. - Angel Oak Multi Strategy	A	Dividend	J	T	Buy (add'l)	05/01/13	J		
8. - Black Rock Equity Dividend Fund	A	Dividend			Sold	08/19/13	J	B	
9. - FMI Large Cap	A	Dividend	J	T					
10. - Fidelity Contrafund	B	Dividend	K	T					
11. - JP Morgan Mid-Cap Value Fund	A	Dividend	J	T	Sold (part)	12/31/13	J	A	
12. - Loomis Sayles Small Cap Growth	A	Dividend	J	T					
13. - Touchstone Small Cap Core	A	Dividend	J	T					
14. - Artisan International Fund	A	Dividend	J	T	Sold (part)	08/02/13	J	A	
15.					Sold (part)	12/31/13	J	A	
16. - Dodge & Cox International Stock Fund	A	Dividend	J	T	Sold (part)	12/31/13	J	A	
17. - Oakmark International Small Cap Fund	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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	(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. - Aberdeen Emerging Markets	A	Dividend			Sold	07/15/13	J	A	
19. - Aston/River Road Independent Value	A	Dividend	J	T					
20. - Center Coast MLP Focus Instl	A	Dividend	J	T					
21. - RiverNorth Core Opportunity Fund	A	Dividend			Sold	12/06/13	J	A	
22. - Riverpark Short Term Hi Yield	A	Dividend	J	T	Buy	05/01/13	J		
23. - Stoneridge Reinsurance Risk	A	Dividend	J	T	Buy	12/10/13	J		
24. - DoubleLine Total Return Bond I	A	Int./Div.	J	T					
25. - Vanguard Interim-Te04/29rm Tax-Exempt Bond Fund	A	Int./Div.	J	T	Sold (part)	04/29/13	J	A	
26. - Schwab AMT Tax-Free Money Fund	A	Int./Div.	J	T					
27. - PIMCO Total Return Fund	A	Dividend			Sold	04/29/13	J	A	
28. - ING Midcap Oppty Fund	A	Dividend	J	T					
29. - Mainstay Marketfield Fund	A	Dividend	J	T					
30. - Wasatch Emrg Mkt Small Cap	A	Dividend	J	T	Sold (part)	08/02/13	J	A	
31. - Wasatch Frontier Emerging Sm Cap	A	Dividend	J	T	Buy	07/17/13	J		
32. - Yacktman Fund	A	Dividend	J	T	Buy	08/21/13	J		
33. D (H)									
34. - Black Rock Equity Dividend Fund	A	Dividend			Sold (part)	06/19/13	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	

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35.					Sold (part)	06/20/13	J	A	
36.					Sold	08/19/13	J	A	
37. - FMI Large Cap	A	Dividend			Sold (part)	06/20/13	J	A	
38.					Sold (part)	06/25/13	J	A	
39.					Sold (part)	09/27/13	J	A	
40.					Sold	10/02/13	J	A	
41. - Fidelity Contrafund	A	Dividend			Sold (part)	06/07/13	J	A	
42.					Sold (part)	06/20/13	J	A	
43.					Sold	10/02/13	J	A	
44. - JP Morgan Mid-Cap Value Fund	A	Dividend			Sold (part)	10/02/13	J	A	
45.					Sold	10/25/13	J	A	
46. - Loomis Sayles Small Cap Growth	A	Dividend			Sold	10/02/13	J	B	
47. - Touchstone Small Cap Core	A	Dividend			Sold	06/20/13	J	A	
48. - Artisan International Fund	A	Dividend			Sold (part)	03/12/13	J	A	
49.					Sold (part)	06/11/13	J	A	
50.					Sold (part)	06/20/13	J	A	
51.					Sold (part)	10/02/13	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	

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52.					Sold	10/29/13	J	A	
53. - Dodge & Cox International Stock Fund	A	Dividend			Sold (part)	03/18/13	J	A	
54.					Sold (part)	09/27/13	J	A	
55.					Sold	10/02/13	J	A	
56. - Oakmark International Small Cap Fund	A	Dividend	J	T	Sold (part)	06/20/13	J	A	
57.					Sold (part)	06/25/13	J	A	
58.					Sold (part)	10/02/13	J	A	
59. - Aberdeen Emerging Markets	A	Dividend			Sold (part)	05/01/13	J	A	
60.					Sold	10/02/13	J	A	
61. - Aston/River Road Independent Value	A	Dividend			Sold (part)	06/07/13	J	A	
62.					Sold (part)	06/25/13	J	A	
63.					Sold	10/02/13	J	A	
64. - Center Coast MLP Focus Instl	A	Dividend			Sold (part)	04/11/13	J	A	
65.					Sold (part)	06/25/13	J	A	
66.					Sold	12/30/13	J	A	
67. - MainStay Marketfield Fund	A	Dividend	J	T	Sold (part)	06/19/13	J	A	
68.					Sold (part)	06/20/13	J	A	

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69.					Sold (part)	10/02/13	J	A	
70. - RiverNorth Corp Opportunity Fund	A	Dividend	J	T	Sold (part)	06/19/13	J	A	
71.					Sold (part)	06/20/13	J	A	
72.					Sold (part)	10/02/13	J	A	
73. - Double Line Total Return Bond I	A	Int./Div.	J	T	Sold (part)	06/20/13	J	A	
74.					Sold (part)	06/25/13	J	A	
75. - Vanguard Interim-Term Tax Exempt Fund	A	Int./Div.			Sold (part)	04/29/13	J	A	
76.					Sold	10/02/13	J	A	
77. - Schwab AMT Tax-Free Money Fund	A	Int./Div.	J	T					
78. - ING MidCap Opportunities	A	Dividend			Sold	05/10/13	J	A	
79. - Wasatch Emerging Markets Sm Cap	A	Dividend	J	T	Sold (part)	03/12/13	J	A	
80.					Sold (part)	06/20/13	J	A	
81. - PIMCO Total Return Fund	A	Dividend			Sold	04/29/13	J	A	
82. - Angel Oak Multi-Strategy Income	A	Dividend			Buy (add'l)	05/01/13	J		
83.					Sold (part)	06/07/13	J	A	
84.					Sold (part)	06/20/13	J	A	
85.					Sold	10/02/13	J	A	

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86. - Yacktmann Fund	A	Dividend	J	T	Buy	08/23/13	J		
87.					Sold (part)	11/13/13	J	A	
88. - Riverpark Short Term Hi Yield	A	Dividend			Buy	05/01/13	J		
89.					Sold	10/02/13	J	A	
90. Fiduciary Cap Pension Parts DDP		None	J	U					
91. IRA #1 (H)									
92. -Schwab Money Market	A	Interest	J	T					
93. Blackrock Equity Dividend Fund	A	Dividend			Sold	08/19/13	L	D	
94. FMI Large Cap	D	Dividend	M	T	Sold (part)	01/03/13	J	A	
95.					Sold (part)	10/03/13	J	A	
96. Fidelity Contrafund	D	Dividend	M	T					
97. JP Morgan Mid-Cap Value Fund	B	Dividend	K	T					
98. Loomis Sayles Small Cap Growth	B	Dividend	K	T					
99. Touchstone Small Cap Core	B	Dividend	K	T					
100. Artisan International Fund	A	Dividend	L	T	Sold (part)	01/03/13	J	A	
101. Dodge & Cox International Stock Fund	A	Dividend	L	T	Sold (part)	01/03/13	J	A	
102. Oakmark International Small Cap Fund	B	Dividend	L	T	Sold (part)	10/03/13	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
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103.					Buy (add'l)	12/19/13	J		
104. Aberdeen Emerging Markets	A	Dividend			Sold	07/15/13	K	A	
105. Aston/River Road INdependent Value	C	Dividend	L	T					
106. Mainstay Marketfield Fund	A	Dividend	M	T					
107. RiverNorth Core Opportunity Fund	A	Dividend			Sold	12/06/13	L	C	
108. UBS E-Tracs Alerian MLP Infrastructure ET'N.	C	Dividend	L	T					
109. DoubleLine Total Return Bond I	C	Interest	K	T	Sold (part)	11/20/13	K	A	
110. PIMCO Total Return Fund	A	Dividend			Sold (part)	04/29/13	L	B	
111.					Sold	11/20/13	K	A	
112. Angel Oak Multi-Strategy Income	C	Dividend	L	T	Buy (add'l)	05/01/13	K		
113. ING Mid Cap	B	Dividend	K	T	Sold (part)	10/03/13	J	A	
114. Wasatch Emerging Market Small Cap	A	Dividend	K	T					
115. Yacktman Fund	C	Dividend	L	T	Buy	08/21/13	L		
116. Riverpark Short Term Hi Yield	A	Dividend	K	T	Buy	05/01/13	K		
117. Scout Unconstrained Bond	A	Dividend	K	T	Buy	11/22/13	K		
118. Semper MBS Total Return	A	Dividend	J	T	Buy	11/22/13	J		
119. StoneRidge Reinsurance Risk Premium Fd	A	Dividend	L	T	Buy	12/10/13	L		

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	

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Pregerson, Dean D.

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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)
120. Wasatch Frontier Emerging Sm Countries	A	Dividend	K	T	Buy	07/17/13	K		
121. IRA #2 (H)									
122. Angel Oak Multi-Strategy Fund (X)	A	Dividend	J	T					
123. Double Line Total Return Bond (X)	A	Dividend	J	T					
124. PIMCO Total Return Fund (X)	A	Dividend	J	T					
125. Aberdeen Emerging Markets (X)	A	Dividend			Sold	07/15/13	J	A	
126. Aston River Road (X)	A	Dividend	J	T					
127. Blackrock Equity Dividend Fund (X)	A	Dividend			Sold	08/19/13	J	A	
128. Dodge & Cox International Stock Fund(X)	A	Dividend	J	T					
129. Fidelity Contra Fund (X)	A	Dividend	J	T					
130. FMI Large Cap (X)	A	Dividend	J	T					
131. Mainstay Marketfield Fund (X)	A	Dividend	J	T					
132. Morgan Stanley Mid Cap (X)	A	Dividend	J	T					
133. Oakmark International Sm Cap Fd (X)	A	Dividend	J	T					
134. RiverNorth Core Opportunity Fd (X)	A	Dividend			Sold	12/06/13	J	A	
135. Touchstone Small Cap Core (X)	A	Dividend	J	T					
136. USB AG Jersey (X)	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 = \$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	

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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)
137. Yackman Fund	A	Dividend	J	T	Buy	08/21/13	J		
138. Stoneridge Reinsurance Risk Premium Fund	A	Dividend	J	T	Buy	12/10/13	J		
139. Wasatch Frontier Emerging Sm Countries	A	Dividend	J	T	Buy	07/17/13	J		
140. Morgan Stanley Instit Mid Cap Growth (Y)									

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	

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

Lines 122-136 were combined in lines 92-120 in 2012 and now are separated per individual brokerage account.

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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/ Dean D. Pregerson**

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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