

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Neiman, Kenneth P.	2. Court or Organization U.S. Federal District Court	3. Date of Report 05/10/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge, Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 300 State Street, Suite 250 Springfield, MA 01105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. Partner	Neiman & Fierst: 50% Ownership of Rental Property #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.	
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. 2011	Adjunct faculty (Western New England University School of Law)	\$8,550.00
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. 2011	Self-employed clinical social worker
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Rental Property #1, Northampton, MA	E	Rent	N	S					
2. Banknorth, N.A. Savings	A	Interest	K	T					
3. Wells Fargo Brok. Acct. trans to 1st Global (par. 4 to 8)									
4. CMA Money Acct. now 1st Global Cap. Reserves	A	Int./Div.	K	T					
5. Mass. Mun. Bond Funds	A	Int./Div.	K	T					
6. Eaton Vance Tax Free	A	Int./Div.	K	T					
7. Basic Value Fund (Black Rock)	A	Dividend	J	T					
8. Fundamental Growth Funds (Black Rock)		None	J	T					
9. Bank of America: Savings/Checking		None			Closed	12/09/11	J		
10. Wells Fargo Ret. Acct. trans. 1st Global (pr. 11-14, 16-17)									
11. Berkshire Hathaway Class B		None	K	T					
12. Cash Management Account now Fidelity Cash Reserve	A	Interest	L	T					
13. Loomis Sayles Investment Grade Bond Fd. Class C	A	Int./Div.	J	T					
14. Loomis Sayles Strategic Income Fund Class C	A	Interest	J	T					
15. Wells Fargo Cash/ Options		None			Expired	01/22/11	J		
16. iShares Barclay Bond Fund	A	Interest	K	T	Buy	01/14/11	K		
17. SPDR Gold Trust		None	K	T	Buy	01/21/11	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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. Wells Fargo IRA trans to 1st Global IRA (pars. 19-24, 26)									
19. Berkshire Hathaway Fund A		None	M	T					
20. Retirement Res (Cash Management Acct) now Capital Reserves	A	Interest	J	T					
21. Black Rock Strategic Dividend Achievers Trust	A	Dividend	J	T					
22. Loomis Sayles Strategic Income Fund Class C	A	Dividend			Sold	09/13/11	J		
23. Mainstay High Yield Corp. Bond Fd. Class C	A	Dividend			Sold	09/13/11	J		
24. Loomis Sayles Investment Grade Fund Class C	A	Dividend			Sold	09/13/11	J		
25. Wells Fargo Cash/ Options		None			Expired	01/24/11	J		
26. SPDR Gold Trust		None	K	T	Buy	01/21/11	J		
27. American Beacon Small Caps Value Fund	A	Dividend	K	T	Buy	09/14/11	K		
28. Artio Global High Income Fund	A	Dividend	L	T	Buy	09/14/11	L		
29. Fidelity Advisor Global Common Stock Fund A	A	Dividend	J	T	Buy	09/14/11	J		
30. Fidelity Advisor Material Fund Class A	A	Dividend	J	T	Buy	09/14/11	J		
31. Harding Louvnes International Equity Portfolio Fund	A	Dividend	L	T	Buy	09/14/11	L		
32. Hartford Float Rate Fund Class I	A	Dividend	K	T	Buy	09/14/11	K		
33. LM Clearbridge Eq. Income Builder Fund A	A	Dividend	L	T	Buy	09/14/11	L		
34. Loomis Sayles Investment Grade Bond Fund Class Y	A	Dividend	K	T	Buy	09/14/11	K		

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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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35. Morgan Stanley Inst International Real Estate Fund	A	Dividend	K	T	Buy	09/14/11	K		
36. Oppenheimer Dev. Markets Fund - Class A	A	Distribution	K	T	Buy	09/14/11	K		
37. Royce 100 Fund Service Class		None	K	T	Buy	09/14/11	K		
38. Galaxy Retirement Fund		None	J	T					
39. Retir. Acct., Pershing LLC Custodian (pars. 40-106)									
40. Berkshire Hathaway Fund B		None	K	T	Buy (add'l)	01/28/11	J		
41.					Buy (add'l)	08/11/11	J		
42. American Express Common Stock	A	Dividend	J	T	Sold (part)	09/29/11	J		
43. Johnson & Johnson Common Stock	A	Dividend	K	T	Sold (part)	09/29/11	J		
44. Pershing Gov't Account Cash Reserves	A	Interest	K	T					
45. Pfizer Inc. Common Stock	A	Dividend			Sold (part)	01/20/11	J		
46.					Sold (part)	09/15/11	J		
47.					Sold	09/16/11	J		
48. Walt Disney Co, Common Stock	A	Dividend			Sold	06/15/11	J		
49. Kraft Foods, Inc. Common Stock	A	Dividend	J	T	Sold (part)	03/21/11	J		
50.					Buy (add'l)	06/29/11	J		
51.					Sold (part)	08/16/11	J		

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52.					Sold (part)	08/23/11	J		
53. Coca Cola Corp. Common Stock	A	Dividend	K	T					
54. Pepsico Inc. Common Stock	A	Dividend	K	T	Buy (add'l)	02/04/11	J		
55.					Sold (part)	09/30/11	J		
56.					Buy (add'l)	10/18/11	J		
57. Aflac Inc. Common Stock	A	Int./Div.			Sold (part)	03/11/11	J		
58.					Sold	05/11/11	J		
59. Bristol Myers Squibb Co. Common Stock	A	Dividend	K	T					
60. Canadian National Resources, Ltd Common Stock	A	Dividend			Sold	09/07/11	J		
61. Genuine Parts Co. Common Stock	A	Dividend			Sold	09/06/11	J		
62. Nestle SA Sponsored ADRS Registered Common Stock	A	Dividend	J	T					
63. Procter & Gamble Co. Common Stock	A	Dividend	K	T	Sold (part)	03/21/11	J		
64.					Buy (add'l)	03/25/11	J		
65. Suncor Energy Inc. Common Stock	A	Dividend			Sold (part)	02/14/11	J		
66.					Sold	08/02/11	J		
67. United Health Group, Inc. Common Stock	A	Dividend			Sold	08/11/11	J		
68. Wells Fargo & Co. Common Stock	A	Dividend	K	T	Buy (add'l)	05/03/11	J		

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69. Exxon Mobil Corp. Common Stock	A	Dividend			Sold (part)	10/18/11	J		
70.					Sold	10/20/11	J		
71. Becton Dickinson Common Stock	A	Dividend			Sold	02/15/11	J		
72. BP PLC SPONS ADR Common Stock	A	Dividend	J	T	Sold (part)	03/21/11	J		
73.					Buy	12/13/11	J		
74.					Buy (add'l)	12/22/11	J		
75. Abbott Labs Common Stock	A	Dividend	J	T	Buy	02/15/11	J		
76.					Buy (add'l)	03/09/11	J		
77. Merck & Co. Common Stock	A	Dividend	K	T	Buy	04/26/11	J		
78.					Sold	05/19/11	J		
79.					Buy	08/16/11	J		
80.					Buy (add'l)	10/11/11	J		
81.					Buy (add'l)	10/21/11	J		
82. Dell Inc. Common Stock		None			Buy	05/06/11	J		
83.					Sold	08/17/11	J		
84. Microsoft Corp. Common Stock	A	Dividend	J	T	Buy	05/26/11	J		
85.					Sold	06/16/11	J		

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86.					Buy	08/30/11	J		
87.					Buy (add'l)	10/24/11	J		
88.					Sold (part)	12/16/11	J		
89. Goldman Sachs Group Common Stock		None			Buy	06/02/11	J		
90.					Sold	08/01/11	J		
91. WalMart Stores, Inc. Common Stock	A	Dividend	J	T	Buy	07/13/11	J		
92.					Buy (add'l)	07/22/11	J		
93. Chevron Corp. New Common Stock	A	Dividend			Buy	08/05/11	J		
94.					Sold	10/20/11	J		
95. Waste Management Inc. Common Stock	A	Dividend	J	T	Buy	09/14/11	J		
96. Intel Corp. Common Stock	A	Dividend			Buy	09/30/11	J		
97.					Buy (add'l)	10/06/11	J		
98.					Sold	11/23/11	J		
99. American International Group com. stock		None	K	T	Buy	10/19/11	J		
100.					Buy (add'l)	10/24/11	J		
101.					Sold (part)	11/25/11	J		
102.					Buy (add'l)	12/28/11	J		

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103.					Buy (add'l)	12/30/11	J		
104. Sanofi Spons ADR		None	J	T	Buy	11/01/11	J		
105. Bank of New York Mellon Corp. Common Stock		None	J	T	Buy	12/06/11	J		
106.					Buy (add'l)	12/22/11	J		
107. ING savings account	A	Interest	L	T					
108.									
109.									
110.									
111.									
112.									
113.									
114.									

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

Part VII (1): value method: total tax assessment by the City as of 12/31/11: \$563,700

Part VII (3): Wells Fargo Brokerage Account (including paragraphs 4 through 8) transferred to 1st Global Capital Corp. Brokerage Account on 09/09/11.

Part VII (10): Wells Fargo Retirement Account (including paragraphs 11 through 14 and 16 through 17) transferred to 1st Global Capital Corp. IRA Account on 08/22/11.

Part VII (18): Wells Fargo Retirement Account (including paragraphs 19 through 24 and 26) transferred to 1st Global Capital Corp. IRA Account on 09/09/11. Further activity in 1st Global Retirement Account reflected in paragraphs 22 through 37.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Neiman, Kenneth P.

Date of Report

05/10/2011

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/ **Kenneth P. Neiman**

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