

FINANCIAL DISCLOSURE REPORT FINAL 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) Neiman, Kenneth P.	2. Court or Organization U.S. Federal District Court	3. Date of Report 04/20/2015
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 01/01/2014 to 01/05/2015
7. Chambers or Office Address 300 State Street Springfield, MA 01105		
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. 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.)*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. 2014

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.)*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.)*

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.		
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. TDBank Savings Acct.	A	Interest	L	T					
3. New England Securities Brokerage Account (pars. 4- 25)									
4. Dreyfus Insured Deposits	A	Interest	J	T					
5. Fidelity Floating Rate High Income Mutual Fund	A	Dividend	J	T					
6. Goldman Sachs Global Income Mutual Fund	A	Dividend			Sold	12/16/14	K		
7. Index ETF TR50 Hedge Multi-Strategy Fund	A	Dividend	J	T	Sold (part)	02/10/14	J	A	
8. IShares TR (morninstar) Large Cap Growth Index Fund	A	Dividend	J	T					
9. IShares TR Russell Mid-Cap Index Fund	A	Dividend	J	T					
10. IShares TR S&P Global 100 Index Funds	A	Dividend	J	T					
11. IShares TR Russell 2000 Index Fund	A	Dividend	J	T					
12. Powershares Exchange Traded Fund	A	Dividend	J	T					
13. SPDR Ser TR Barclays High Yield Bond Fund	A	Dividend	J	T	Buy (add'l)	12/22/14	J		
14. U.S. Commodity Index Fund		None			Sold	12/22/14	J		
15. Vanguard Int'l Equity Index Fund Inc. FTSE All World	A	Dividend			Sold	02/19/14	K	C	
16. Vanguard Equity Index Funds MSCI Emerging Markets	A	Dividend	J	T	Buy (add'l)	02/19/14	J		
17. Vanguard Index FDS REIT EIF	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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. iShares Tr. MSCI ACWI Index	A	Dividend	J	T	Buy (add'l)	02/10/14	J		
19. Goldman Sachs Strategic Income Fund	A	Dividend	J	T					
20. Franklin Low Duration Total Return Fund	A	Dividend	J	T	Sold (part)	09/24/14	J		
21. SPDR Index Funds World Ex-US ETF	A	Dividend			Buy	02/19/14	K		
22.					Sold	12/18/14	K		
23. Lord Abbett Short Duration Income Fund	A	Dividend	J	T	Buy	09/24/14	J		
24. Vanguard Limited Term Fund	A	Dividend	K	T	Buy	12/18/14	K		
25. iShares Trust Core MSCI	A	Dividend	K	T	Buy	12/18/14	K		
26. New England Securities Ret. Acct. (Pars. 27-44)									
27. Berkshire Hathaway Class B		None	K	T					
28. Dreyfus Insured Deposits	A	Interest	J	T					
29. iShares Russell 2000 Index Fund	A	Dividend	J	T					
30. Goldman Sachs Global Income Fund. Inst. Class	A	Dividend	J	T	Sold (part)	09/24/14	J		
31. iShares (Morningstar) Large Cap Growth Fund	A	Dividend	J	T					
32. Index IQ Hedge Multi-Strategy Tracker Fund	A	Dividend			Sold	02/10/14	J		
33. Fidelity Floating Rate High Income Fund	A	Dividend	J	T					
34. Vanguard Index FDS REIT Fund	A	Dividend	J	T					

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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	
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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	(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)
35. Vanguard Int'l Equity Emerging Mkt Fund	A	Dividend	K	T	Buy (add'l)	02/19/14	J		
36. Vanguard Int'l Equity All World Fund	A	Dividend			Sold	02/19/14	J		
37. U.S. Commodity Index Fund		None			Sold	12/22/14	J		
38. SPDR Barclay High Yield Bd. Fund	A	Dividend	J	T	Buy (add'l)	12/22/14	J		
39. iShares S&P Global 100 Index Fund	A	Dividend	J	T					
40. iShares MSCI Index Fund	A	Dividend	J	T	Buy (add'l)	02/10/14	J		
41. Goldman Sachs Strategic Income Fund	A	Dividend	J	T					
42. SPDR Index S&P World Fund	A	Dividend	K	T	Buy	02/19/14	K		
43. Franklin Low Duration Total Return Fund	A	Dividend	J	T	Buy	09/24/14	J		
44. Lord Abbett Short Duration Income Fund	A	Int./Div.	J	T	Buy	09/24/14	J		
45. New Eng. Sec. IRA (pars. 46-61)									
46. Berkshire Hathaway Fund A		None	M	T					
47. Dreyfus Insured Deposits	A	Interest	J	T					
48. Goldman Sachs Global Income Fund	A	Dividend	K	T	Sold (part)	09/24/14	K		
49. Fidelity Floating Rate Income Fund	A	Dividend	K	T					
50. Index IQ Hedge Multi-Strategy Tracker	A	Dividend			Sold	02/10/14	K		
51. SPDR Barclays High Yield Bd. Fund	B	Dividend	K	T	Buy (add'l)	12/22/14	K		

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52. Vanguard Int'l Equity Emerging Markets Fund	A	Dividend	K	T	Buy (add'l)	02/19/14	K		
53. iShares Tr MSCI ACWI Index Fund	A	Dividend	K	T	Buy (add'l)	02/10/14	K		
54. Vanguard Index Funds REIT	A	Dividend	K	T					
55. Vanguard Int'l Equity Index All World Fund	A	Dividend			Sold	02/19/14	L		
56. U.S. Commodity Index Fund		None			Sold	12/22/14	K		
57. iShares Global 100 ETF	A	Dividend	K	T					
58. Goldman Sachs Strategic Income Fund	A	Dividend	J	T					
59. SPDR Index World Fund	A	Dividend	L	T	Buy	02/19/14	L		
60. Franklin Low Duration Total Return Fund	A	Dividend	J	T	Buy	09/24/14	J		
61. Lord Abbett Short Duration Fund	A	Dividend	J	T	Buy	09/24/14	J		
62. Vanguard Retirement Account	A	Dividend	J	T					
63. Retir. Acct. Pershing LLC Custodian (pars. 64-122)				T					
64. Berkshire Hathaway Fund B		None	L	T	Buy (add'l)	03/03/14	J		
65. American Express Common Stock	A	Dividend	K	T	Buy (add'l)	09/18/14	J		
66. Johnson & Johnson Common Stock	A	Dividend	K	T					
67. Pershing Gov't Account Cash Reserves		None	J	T					
68. Coca Cola Corp. Common Stock	A	Dividend	K	T	Sold (part)	03/27/14	J		

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69. Pepsico Inc. Common Stock	A	Dividend	L	T					
70. Bristol Myers Squibb Co. Common Stock	A	Dividend	K	T					
71. Nestle SA Sponsored ADRS Registered Common Stock	B	Dividend	K	T	Buy (add'l)	01/06/14	J		
72.					Buy (add'l)	10/22/14	J		
73. Proctor & Gamble Common Stock	A	Dividend	K	T					
74. Wells Fargo & Co. Common Stock	A	Dividend	K	T					
75. American International Group Com. Stock	A	Dividend	K	T	Sold (part)	07/10/14	J		
76.					Sold (part)	07/15/14	J		
77.					Buy (add'l)	09/29/14	J		
78.					Buy (add'l)	10/21/14	J		
79. Bank of New York Mellon Corp. Common Stock	A	Dividend	K	T	Sold (part)	03/27/14	J		
80. Bank of America Common Stock	A	Dividend	K	T	Sold (part)	07/16/14	J		
81.					Buy (add'l)	07/22/14	J		
82.					Sold (part)	08/27/14	J		
83.					Buy (add'l)	09/29/14	J		
84. Dunkin Brands Group Inc. Common Stock	A	Dividend			Sold (part)	03/27/14	J		
85.					Sold (part)	04/25/14	J		

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86.					Sold	07/16/14	J		
87. General Motors Common Stock		None			Sold (part)	01/15/14	J		
88.					Sold	01/16/14	J		
89. Swatch Group AG Common Stock	A	Dividend			Sold (part)	03/27/14	J		
90.					Sold (part)	05/13/14	J		
91.					Sold	07/14/14	J		
92. Sysco Corp. Common Stock	A	Dividend	K	T					
93. Unilever DLC Spon Common Stock	A	Dividend			Sold	11/24/14	J		
94. FiServe Inc. Common Stock		None			Sold	03/27/14	J		
95. Morgan Stanley Common Stock	A	Dividend	K	T	Sold (part)	03/27/14	J		
96. Walgreen Company Common Stock	A	Dividend			Sold (part)	01/06/14	J		
97.					Buy (add'l)	08/06/14	J		
98.					Sold	09/08/14	J		
99. BP PLC Spons ADR	A	Dividend			Buy	01/22/14	J		
100.					Buy (add'l)	04/14/14	J		
101.					Buy (add'l)	04/22/14	J		
102.					Buy (add'l)	05/22/14	J		

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103.					Sold (part)	07/31/14	J		
104.					Sold (part)	08/27/14	J		
105.					Sold (part)	09/24/14	J		
106.					Sold	09/25/14	J		
107. United Health Group Common Stock	A	Int./Div.	K	T	Buy	05/12/14	J		
108. Exxon Mobil Corp Common Stock	A	Dividend	J	T	Buy	5/27/14	J		
109.					Buy (add'l)	06/11/14	J		
110.					Buy (add'l)	08/05/14	J		
111.					Sold (part)	09/29/14	J		
112.					Buy (add'l)	12/31/14	J		
113. Fanuc Corp ADR Common Stock	A	Dividend	J	T	Buy	05/02/14	J		
114. International Business Machines Common Stock		None			Buy	08/26/14	J		
115.					Buy (add'l)	09/09/14	J		
116.					Buy (add'l)	10/08/14	J		
117.					Sold (part)	10/20/14	J		
118.					Sold	10/21/14	J		
119. Facebook, Inc		None			Buy	10/29/14	J		

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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Name of Person Reporting

Neiman, Kenneth P.

Date of Report

04/20/2015

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.					Sold	11/25/14	J		
121. Canadian Natural Resources Common Stock		None	J	T	Buy	11/28/14	J		
122. Suncor Energy Common Stock		None	J	T	Buy	11/28/14	J		
123. Capital One Savings Account	A	Interest	L	T					
124. Florence Savings Bank	A	Interest	J	T					
125. Allianz Annuity Retirement Plan		None	N	T					
126. Pershing Investment Account (pars. 127-153)									
127. Genraler Money Market Fund	A	Interest	J	T	Open	08/15/14	K		
128. Wells Fargo & Co. Common Stock	A	Dividend	J	T	Buy	08/22/14	J		
129.					Buy (add'l)	09/24/14	J		
130. Unilever PLC Spon ADR		None			Buy	08/22/14	J		
131.					Sold	09/08/14	J		
132. Walgreens PLC Spon ADR		None			Buy	08/22/14	J		
133.					Sold	09/09/14	J	A	
134. Bank of America Corp. Common Stock		None	J	T	Buy	08/22/14	J		
135.					Buy (add'l)	09/29/14	J		
136. American Internation Group Common Stock		None	J	T	Buy	08/22/14	J		

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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Name of Person Reporting

Neiman, Kenneth P.

Date of Report

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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.					Buy (add'l)	09/09/14	J		
138.					Buy (add'l)	10/21/14	J		
139. BP PLC Spons ADR		None			Buy	08/25/14	J		
140.					Sold	09/24/14	J		
141. Berkshire Hathaway Class B		None	J	T	Buy	09/03/14	J		
142. General Electric Corp. Common Stock	A	Dividend			Buy	09/18/14	J		
143.					Sold	10/13/14	J		
144. International Business Machines Common Stock		None			Buy	09/09/14	J		
145.					Sold	10/20/14	J		
146. Nestle SA Common Stock		None	J	T	Buy	09/10/14	J		
147. Pepsico, Inc. Common Stock	A	Dividend	J	T	Buy	10/15/14	J		
148. American Express Company Common Stock		None	J	T	Buy	10/15/14	J		
149. Franklin Resource Inc.		None			Buy	10/24/14	J		
150.					Sold	01/05/15	J		
151. Bank of New York Mellon Common Stock		None	J	T	Buy	10/24/14	J		
152. Canadian Natural Resources	A	Dividend	J	T	Buy	11/28/14	J		
153. Exxon Mobil Corp Common Stock		None	J	T	Buy	12/18/14	J		

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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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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Name of Person Reporting	Date of Report
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII (1): Value method: toral tax assessment by the City as of 12/31/14: \$529,500.

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Name of Person Reporting

Neiman, Kenneth P.

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04/20/2015

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
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Washington, D.C. 20544