

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) Neiter, Richard	2. Court or Organization U.S. Bankruptcy Court Central District of California	3. Date of Report 10/19/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge (Retired 9/10/16)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 09/10/2016
7. Chambers or Office Address Chambers of the Hon. Richard M. Neiter United States Bankruptcy Court Central District of California 255 E. Temple Street, Suite 1652 Los Angeles, CA 91107		
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.	President	
2.	Co-Trustee	Trust #1
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. 1997	Employment agreement with ST&G for deferred compensation as a result of my retirement from that organization in 2/16. I have no control over the amounts paid.
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. 2016	ST&G deferred compensation	\$28,645.00
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. 2016	Self employed art dealer
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.)*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. IRA #1 (H)									
2. -Tweedy Browne Global Value Fund (TBGVX)		None	M	T	Sold (part)	05/23/16	K	C	
3. -Touchstone Small Cap Core Fund -Y (TSFYX)		None	K	T	Sold (part)	05/23/16	K	D	
4. -CNR Fixed Income Opportunities Fund-N RIMOX	E	Dividend		T	Sold (part)	02/22/16	K	A	
5.			O	T	Buy (add'l)	04/19/16	M		
6. -CNR US Core Equity Fund Serv (CNRVX)	C	Dividend		T	Sold (part)	03/10/16	L	A	
7.			P1	T	Sold (part)	03/16/16	L	A	
8. -Vanguard Short Term Corp Bond ETF (VSCH)	C	Dividend	M	T					
9. -Vanguard Intermediate Term Govt. Bond Fund ETF (VCIT)	A	Dividend	K	T					
10. -Vanguard Intermediate Term Corporate ETF (VCIT)	C	Dividend	M	T					
11. -Vanguard Short-Term Govt Bond ETF (VGBH)	A	Dividend	L	T					
12. -Vanguard REIT ETF (VNQ)	B	Dividend	L	T					
13. -CNR Prime Money Market Fund Servicing. Class	A	Int./Div.			Sold	08/26/16	M	A	
14. -CNR Govt Money Market Fund Servicing. Class	A	Int./Div.	M	T	Buy	08/26/16	M		
15. -CNR Emerging Markets Fund CL N (RIMIX)		None	M	T	Sold (part)	05/23/16	K	B	
16. -CNR Dividend & Income Fund CL N (RIMHX)	D	Dividend	O	T	Sold (part)	05/23/16	L	A	
17. -Vanguard Small Cap ETF (VB)	A	Dividend	K	T	Sold (part)	05/25/16	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 H ~\$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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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				
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18. -Vanguard Global EX US Real Estate ETF (VNQI)	A	Dividend	L	T					
19. -Ivy High Income Fund Class I	D	Int./Div.			Sold	04/19/16	M	A	
20. -Stone Ridge Rnns Risk Premium Fund Ind Fd (SRRIX)		None	M	T	Buy	02/22/16	K		
21. IRA #3 (H)									
22. -CNR Govt. MMkt CL N (CNGXX)	A	Int./Div.	J	T					
23. -iShares Core Growth Allocation ETF (AOR)	A		J	T					
24. -City National Rochdale Fixed Income Opportunities Fund (RIMOX)	A	Dividend	J						
25. Trust #1(H)									
26. -U.S. Bank (Accounts)	A	Interest	L	T					
27. -Banc of California Inc. (BANC) Common Stock	B	Dividend	K	T					
28. -Rental Property -- Los Angeles Co., CA	E	Rent	P1	W					
29. -Partial Interest in HOA		None	J	T					
30.									

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.)*

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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/ **Richard Neiter**

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