

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/14/2013
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 01/01/2012 to 12/31/2012
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 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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Adjunct faculty (Western New England College 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. 2012	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.)*

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. Banknorth, N.A. Savings, now TDBank	A	Interest	L	T					
3. 1st Global Capital, now New England Securities (pars. 4-22)									
4. 1st Global Cap. Res., now Dreyfus Int. Deposits	A	Interest	J	T					
5. Mass. Mun. Bond Funds	B	Dividend			Buy (add'l)	5/24/12	K		
6.					Sold	11/23/12	L		
7. Eaton Vance Tax Free	A	Dividend			Sold	11/23/12	K		
8. Basic Value Fund (Black Rock)	A	Dividend			Sold	5/21/12	J		
9. Fundamental Growth Funds (Black Rock)		None			Sold	5/24/12	J		
10. Fidelity Floating Rate High Income Mutual Fund	A	Dividend	J	T	Buy	11/23/12	J		
11. Goldman Sachs Global Income Mutual Funds	A	Dividend	K	T	Buy	11/23/12	K		
12. Index ETFTR50 Hedge Multi-Strategy Fund		None	J	T	Buy	11/23/12	J		
13. iShares TR Large Growth Index Fund	A	Dividend	J	T	Buy	11/23/12	J		
14. iShares TR Russell MidCap Index Fund	A	Dividend	J	T	Buy	11/23/12	J		
15. iShares TR S&P Global 100 Index Funds	A	Dividend	J	T	Buy	11/23/12	J		
16. iShares TR Russell 2000 Index Fund	A	Dividend	J	T	Buy	11/23/12	J		
17. Powershares Exchange Traded Fund	A	Dividend	J	T	Buy	11/23/12	J		

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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18. SPDR Ser TR Barclays High Yield Bond Fund	A	Dividend	J	T	Buy	11/23/12	J		
19. U.S. Commodity Index Fund		None	J	T	Buy	11/23/12	J		
20. Vanguard Intl Equity Index Fund Inc. FTSE All World	A	Dividend	J	T	Buy	11/23/12	J		
21. Vanguard Intl Equity Index Funds MSCI Emerging Markets	A	Dividend	J	T	Buy	11/23/12	J		
22. Vanguard Index FDS Vanguard REIT ETF	A	Dividend	J	T	Buy	11/23/12	J		
23. 1st Global Ret. Acct, now New Eng. Sec. Ret. (pars. 24-32)									
24. Berkshire Hathaway Class B		None	K	T					
25. Fidelity Cash Reserve, now Dreyfus Ins. Deposit	A	Interest	K	T					
26. Loomis Sayles Investment Grade Bond Fd. Class C	A	Dividend	J	T					
27. Loomis Sayles Strategic Income Fund Class C	A	Dividend	K	T					
28. iShares Barclay Bond Fund	A	Interest	K	T					
29. SPDR Gold Trust		None	K	T					
30. Fidelity Advisor Strategic Income Class C	A	Int./Div.	J	T	Buy	5/24/12	J		
31. Loomis Sayles Bond Fund	A	Int./Div.	J	T	Buy	5/22/12	J		
32. Pimco Total Return Class C	A	Int./Div.	K	T	Buy	5/24/12	J		
33. 1st Global IRA Ret., now New Eng. Sec. IRA (pars. 34-48)									
34. Berkshire Hathaway Fund A		None	N	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	
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35. Capital Reserves, now Dreyfus Insured Deposit	A	Interest	J	T					
36. Black Rock Strategic Dividend Achievers Trust	A	Dividend	J	T					
37. SPDR Gold TRust		None	K	T					
38. American Beacon Small Caps Value Fund		None			Sold	1/12/12	K		
39. Artio Global High Income Fund	B	Dividend	K	T	Sold (part)	1/12/12	K		
40. Fidelity Advisor Global Common Stock Fund A		None			Sold	1/17/12	J		
41. Fidelity Advisor Material Fund Class A		None			Sold	1/17/12	J		
42. Harding Louvnes International Equity Portfolio Fund	A	Dividend	K	T	Sold (part)	1/12/12	K		
43. Hartford Float Rate Fund Class I	B	Int./Div.	K	T					
44. LM Clearbridge Eq. Income Builder Fund A		None			Sold	1/17/12	L		
45. Loomis Sayles Investment Grade Bond Fund Class Y	A	Dividend	K	T					
46. Morgan Stanley Inst. International Real Estate Fund		None			Sold	1/12/12	K		
47. Oppenheimer Dev. Markets Fund - Class A		None			Sold	1/17/12	K		
48. Royce 100 Fund Srvce Class		None			Sold	1/12/12	K		
49. Galaxy Retirement Fund, now Vanguard Ret Fund (as of 2/8/12)		None	J	T					
50. Retir. Acct., Pershing LLC Custodian (pars. 51-104)									
51. Berkshire Hathaway Fund B		None	K	T					

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52. American Express Common Stock	A	Dividend	K	T	Buy (add'l)	8/31/12	J		
53. Johnson & Johnson Common Stock	A	Dividend	J	T	part buy	2/3/12	J		
54.					Sold (part)	8/15/12	J		
55.					Sold (part)	8/20/12	J		
56. Pershing Gov't Account Cash Reserves	A	Interest	J	T					
57. Kraft Foods, Inc. Common Stock		None			Sold	03/6/12	J		
58. Coca Cola Corp. Common Stock	A	Dividend	K	T					
59. Pepsico Inc. Common Stock	A	Dividend	K	T	Buy (add'l)	2/6/12	J		
60.					Sold (part)	8/15/12	J		
61. Bristol Myers Squibb Co. Common Stock	A	Dividend	K	T	Buy (add'l)	2/3/12	J		
62. Nestle SA Sponsored ADRS Registered Common Stock	A	Dividend	J	T	Buy (add'l)	1/17/12	J		
63. Procter & Gamble Co. Common Stock	A	Dividend	K	T	Buy (add'l)	2/1/12	J		
64.					Sold (part)	8/15/12	J		
65.					Buy (add'l)	9/7/12	J		
66. Wells Fargo & Co. Common Stock	A	Dividend	K	T	Sold (part)	5/24/12	J		
67.					Buy (add'l)	6/14/12	J		
68. BP PLC SPONS ADR Common Stock		None			Sold	1/27/12	J		

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69. Abbott Labs Common Stock	A	Dividend	J	T					
70. Merck & Co. Common Stock		None			Sold	2/2/12	K		
71. Microsoft Corp. Common Stock	A	Dividend			Buy (add'l)	2/7/12	J		
72.					Sold (part)	4/19/12	J		
73.					Sold (part)	5/22/12	J		
74.					Sold	9/1/12	J		
75. WalMart Stores Inc. Common Stock	A	Dividend	J	T					
76. Waste Management Inc. Common Stock	A	Dividend			Sold	5/14/12	J		
77. American International Group com. stock		None	K	T	Buy (add'l)	1/6/12	J		
78. Sanofi Spons ADR	A	Dividend	J	T	Buy (add'l)	3/9/12	J		
79. Bank of New York Mellon Corp. Common Stock	A	Dividend	J	T	Buy (add'l)	3/30/12	J		
80.					Sold (part)	5/18/12	J		
81.					Buy (add'l)	5/29/12	J		
82.					Buy (add'l)	6/29/12	J		
83.					Sold (part)	10/16/12	J		
84. Bank of America Common Stock	A	Dividend	K	T	Buy	2/2/12	J		
85. Morgan Stanley Common Stock		None			Buy	1/31/12	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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86.					Buy (add'l)	3/7/12	J		
87.					Sold	3/30/12	J		
88. Hewlett Packard Common Stock		None			Buy	1/31/12	J		
89.					Sold	2/23/12	J		
90. Teva Pharm Industries Common Stock		None			Buy	1/20/12	J		
91.					Sold	2/10/12	J		
92. Conagra Foods, Inc. Common Stock		None	J	T	Buy	11/28/12	J		
93. Dunkin Brands Group Inc. Common Stock	A	Dividend	J	T	Buy	4/26/12	J		
94. General Motors Common Stock		None	J	T	Buy	10/1/12	J		
95.					Buy (add'l)	10/5/12	J		
96. Heinekin Common Stock	A	Dividend	J	T	Buy	7/5/12	J		
97. Swatch Group AG Common Stock		None	J	T	Buy	10/15/12	J		
98.					Buy (add'l)	10/16/12	J		
99.					Buy (add'l)	12/14/12	J		
100. Sysco Group Common Stock	A	Dividend	J	T	Buy	8/28/12	J		
101.					Buy (add'l)	9/10/12	J		
102.					Buy (add'l)	9/19/12	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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103. USG Corp (New) Common Stock		None	J	T	Buy	4/26/12	J		
104. Unilever DLC Spon Common Stock	A	Dividend	J	T	Buy	4/18/12	J		
105. ING savings account, now Capital One	A	Interest	L	T					
106. Florence Savings Bank	A	Interest	J	T	Open	2/1/12	J		
107. Allianz Annuity Retirement Plan		None	N	T	Open	2/6/12	M		
108.									
109.									
110.									
111.									
112.									

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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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Name of Person Reporting

Neiman, Kenneth P.

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

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

Part VII (3): 1st Global Capital Corp. Brokerage Account (including paragraphs 4 through 9) transferred to New England Securities on 11/21/12.

Part VII (23): 1st Global Capital Corp. IRA Account (including paragraphs 24 through 32) transferred to New England Securities (Pershing) IRA on 12/5/12.

Part VII (33): 1st Global Capital Corp. IRA Account (including paragraphs 34 through 48) transferred to New England Securities (Pershing) IRA on 11/23/12.

Part VII (77): other partial buys: 1/10/12; 2/3/12; 3/14/12; 3/19/12; 3/27/12; 7/17/12; 8/20/12 (all with J value codes).

Part VII (84): partial buys: 2/6/12; 2/8/12; 2/27/12; 3/7/12; 6/14/12; and 6/19/12 (all with J value codes). Partial sales: 3/27/12; 3/30/12; and 5/11/12 (all with J value codes).

Part VII (93): partial buys: 6/29/12; 7/20/12; and 8/8/12 (all with J value codes). Partial sale: 9/28/12 (J value).

Part VII (103): partial buys: 7/2/12 and 7/12/12 (all with J value codes). Partial sale: 12/7/12 (J value).

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Name of Person Reporting

Neiman, Kenneth P.

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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/ **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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One Columbus Circle, N.E.
Washington, D.C. 20544