

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Klein, Sandra R.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 255 E. Temple Street Suite 1582 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. 2016

Union Bank - Salary & bonus

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.)*

	<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.	US Bank	Mortgage on Rental Property #1	O
2.	Chase	Mortgage on Rental Property #2	O
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. Brokerage #1 (H)									
2. -Altria	B	Dividend	K	T					
3. -British Petroleum	B	Dividend	K	T					
4. -Bristol Myers Squibb	A	Dividend	K	T					
5. -Walt Disney	A	Dividend	J	T					
6. -Frontier Communications	A	Dividend			Sold	05/19/16	J	A	
7. -Hewlett Packard n/k/a Hewlett Packard Enterprises	A	Dividend	J	T					
8. -HP Inc.	A	Dividend	J	T					
9. -Kraft Foods n/k/a Kraft Heinz	A	Dividend	J	T					
10. -Mondelez	A	Dividend	J	T					
11. -Microsoft	A	Dividend	J	T					
12. -Pfizer	A	Dividend	J	T					
13. -Philip Morris International	B	Dividend	L	T					
14. -Annaly Capital - NLY	A	Dividend	J	T					
15. -Tyler Technologies		None	M	T					
16. -Verizon	A	Dividend	J	T					
17. -VXX		None	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 \$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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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 I (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. -VPU	A	Dividend	J	T					
19. - I-shares Silver Trust - SLV		None	J	T					
20. - Alerian MLP	A	Dividend	J	T					
21. - Carlyle Group	A	Dividend	J	T					
22. - Coca Cola	A	Dividend	J	T					
23. - Devon Energy	A	Dividend	J	T					
24. - Freeport McMoran	A	Dividend	J	T					
25. - Kinder Morgan	A	Dividend	J	T					
26. - US National Gas Fund		None	J	T					
27.									
28. - Cash in Wells Fargo Bank Deposit Sweep Account*	A	Interest	K	T					
29.									
30. Brokerage #2 (H)									
31. -Apache	A	Dividend	J	T					
32. -Devon Energy	A	Dividend	J	T					
33. -Exxon Mobil	A	Dividend	J	T					
34. - Highmark California MMA	A	Dividend	K	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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☐ 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)

35.									
36. 401K #1 (fka Union Bank 401-K #1)									
37. -UB Stable Value Fund C	D	Dividend	N	T					
38. -Vanguard Target Ret. 2025	A	Dividend	J	T					
39. -Metropolitan West Total Return	D	Dividend	N	T					
40.									
41. 401K #2 (fka Wells Fargo 401-K #2)									
42. -WF Stable Value Fund	C	Dividend	M	T					
43. -US Bond Index Fund	B	Dividend	L	T					
44.									
45. Vanguard IRA #1									
46. -Vanguard Equity Income Fund	B	Dividend	J	T					
47. -Vanguard Morgan Growth Fund	A	Dividend	K	T					
48. -Vanguard Value Index Fund	C	Dividend	K	T					
49. -Vanguard Windsor Fund	B	Dividend	J	T					
50. -Vanguard Lifestrategy Growth Fund	B	Dividend	J	T					
51. -Vanguard Prime Money Market Fund	D	Dividend	K	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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☐ 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)

52. -Vanguard Global Equity Fund	A	Dividend	J	T					
53. -Vanguard Pacific Stock Index Fund	A	Dividend	J	T					
54. -Vanguard Wellington Fund	C	Dividend	K	T					
55. -Vanguard Energy Fund	D	Dividend	K	T					
56. -Vanguard Strategic Equity Fund	C	Dividend	K	T					
57. -Vanguard REIT Index Fund	C	Dividend	K	T					
58.									
59. Vanguard 529 Plan #1									
60. - Vanguard Income Fund	A	Dividend	J	T					
61.									
62. Vanguard 529 Plan #2									
63. - Vanguard Income Fund	A	Dividend	J	T					
64.									
65. Vanguard 529 Plan #3									
66. - Vanguard Income Fund	A	Dividend	J	T					
67.									
68. Brokerage #3 (H)									

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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69. -WF Calif. MMA (fka Wells Fargo Calif. MMA)	A	Dividend	M	T					
70. -Altria	A	Dividend	J	T					
71. -British Petroleum	A	Dividend	J	T					
72. -Bristol Myers Squibb	A	Dividend	J	T					
73. -General Electric	A	Dividend	J	T					
74. -Pfizer	A	Dividend	J	T					
75. -Philip Morris Int'l	A	Dividend	K	T					
76.									
77. Brokerage #4 (H)									
78. -Fidelity Gov't MMA (fka Highmark Calif. MMA)	A	Dividend	K	T					
79. -Apache	A	Dividend	J	T					
80. -Coca Cola	A	Dividend	J	T					
81. -Devon Energy	A	Dividend	J	T					
82. -Exxon Mobil	A	Dividend	J	T					
83.									
84. Fidelity Brokerage #5 (H)									
85. -Fidelity Cash Reserves	A	Dividend	M	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
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86. -Fidelity Worldwide	A	Dividend	L	T					
87. -Fidelity Asset Manager 70%	B	Dividend	L	T					
88. -Fidelity Magellan	B	Dividend	L	T					
89. -Fidelity Growth & Income	C	Dividend	M	T					
90.									
91. Fidelity IRA #2									
92. - Fidelity Gov't Money Market	A	Dividend	K	T					
93. -Fidelity Stock Selector Large Cap Value	A	Dividend	K	T					
94. -Fidelity Focused Stock Fund (fka Fidelity Fifty Fund)	A	Dividend	K	T					
95. -Fidelity Balanced	B	Dividend	L	T					
96. -Fidelity Select Energy	A	Dividend	J	T					
97. -Fidelity Value	A	Dividend	K	T					
98.									
99. Fidelity IRA #3									
100. -Fidelity Real Estate Investment	A	Dividend	K	T					
101. -Fidelity Select Energy	A	Dividend	J	T					
102. -Fidelity Select Defense & Aerospace	B	Dividend	K	T					

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103.									
104. Fidelity Brokerage #6 (Joint) (H)									
105. -Calif. MMA	A	Dividend	K	T					
106.									
107. Rental property #1 - Redondo Beach, CA	E	Rent	O	W					
108. Rental property #2 - Redondo Beach, CA	F	Rent	P1	W					
109. Rental property #3 - Redondo Beach, CA	E	Rent	O	W					
110.									
111. Brokerage #7 (H)									
112. - MUFJ	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

NOTE: In Fidelity IRA #2, (line 93), the Fidelity Gov't MM was inadvertently omitted from my prior reports.

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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/ Sandra R. Klein**

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