

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 04/30/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge--full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address Roybal Federal Bldg. 255 E. Temple St. #1652 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.)

	<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 2/06. I have no control over 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. 2014	ST&G deferred compensation	\$19,799.99
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. 2014	self employed art consultant
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. American Bankruptcy Institute	3/11/14	Los Angeles	panelist at ABI Battleground West conference	transportation, parking, meal
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. IRA #1 (H)									
2. -SCHWAB MONEY MARKET	A	Int./Div.			Sold	08/14/14	K		
3. -TR PRICE EMG BOND (PREMX)	D	Dividend	N	T	Buy	01/14/14	N		
4. -BLACKROCK GLOBAL ALLOC (MALOX)	B	Dividend			Sold	09/14/14	M	E	
5. -COLUMBIA DIVIDEND INCOME FD (CDDRFX)		None			Sold	01/14/14	N	F	
6. -OSTERWEIS FUND (OSTFX)		None			Sold (part)	01/14/14	M	E	
7.					Sold (part)	09/04/14	M	E	
8.					Sold (part)	11/06/14	L	D	
9.					Sold	12/04/14	L	E	
10. -JP MORGAN RESEARCH (JPMNX)		None			Sold (part)	01/14/14	M	D	
11.					Sold	10/14/14	M	D	
12. -MERGER FUND (MERFX)		None			Sold	01/14/14	L	D	
13. -PIMCO UNCONS BOND (PFIUX)	A	Dividend			Sold (part)	01/07/14	K	A	
14.					Sold	01/14/14	N	A	
15. -PIMCO ALL AUTHORITY (PAUIX) (7200Q182)	C	Dividend			Buy (add'l)	01/14/14	K		
16.					Sold	09/12/14	N	A	
17. -PIMCO GLOBAL MULTI (PGAIX)		None			Sold	01/14/14	M	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 ~\$250,001 - \$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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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. -SCHWAB FUND US LG CO (SFLNX)		None			Buy (add'l)	01/14/14	M		
19.					Sold	09/19/14	N	E	
20. -VANGUARD DIVIDEND GROWTH (VDIGX)	D	Dividend			Buy (add'l)	01/14/14	M		
21.					Sold (part)	11/06/14	N	F	
22.					Sold	12/04/14	N	F	
23. -VANGUARD EQUITY INCOME (VEIPX)		None			Sold	01/14/14	N	F	
24. -WASATCH FRONTIER EMERG SM-IN (WAFMX)		None			Buy	01/14/14	M		
25.		None			Sold (part)	01/14/14	K		
26.		None			Sold	09/02/14	M	D	
27. -MAINSTAY HIGH YLD CORP BD-I 1562 (56062X708)	B	Dividend			Buy	01/14/14	N		
28.					Sold	09/04/14	N	D	
29. -DREYFUS PREMIER WORLDWIDE GROWTH-I (DPWRX)	B	Dividend			Buy	01/14/14	N		
30.					Sold	09/12/14	N	E	
31. -LORD ABBETT FLOATING RATE FD-I (543916134)	D	Dividend			Buy	01/14/14	M		
32.					Sold	09/19/14	M	C	
33. -INVESCO CONVERTIBLE SECURITIES FD-A (CNSAX)	A	Dividend			Buy	01/14/14	N		
34.					Sold (part)	09/02/14	L	C	

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	
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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				
	(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.					Sold	10/14/14	N	A	
36. -CNR CORPORATE BD FD SERV CL 2641 (17800P514)	A	Dividend			Buy	09/04/14	L		
37.					Buy (add'l)	10/14/14	M		
38.					Sold	11/14/14	N	A	
39. -CNR GOVT BD FD SERV CL 2639 (17800P480)	A	Dividend			Buy	09/04/14	K		
40.					Buy (add'l)	10/14/14	M		
41.					Sold	11/14/14	M	A	
42. -TWEEDY BROWNE GLOBAL VALUE FD (TBGVX)	C	Dividend	M	T	Buy	09/12/14	N		
43.					Buy (add'l)	09/19/14	K		
44.					Sold (part)	12/04/14	M	A	
45. -TOUCHSTONE SMALL CAP CORE FUND-Y (TSFYX)	D	Dividend	M	T	Buy	09/04/14	L		
46.					Buy (add'l)	12/04/14	K		
47. -CNR FIXED INCOME OPPORT CLN (17800P506)	E	Dividend	O	T	Buy (add'l)	09/04/14	N		
48.					Buy (add'l)	09/19/14	M		
49.					Buy (add'l)	10/14/14	K		
50. -CNR US CORE EQUITY FD SERV (CNRVX)	B	Dividend	P1	T	Buy	09/12/14	O		
51.					Buy (add'l)	09/19/14	N		

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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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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52.					Buy (add'l)	12/04/14	M		
53. -PIMCO COMMODITY PLUS STRAT- INS (PCLIX)	B	Dividend	L	T	Buy	12/04/14	L		
54. -VANGUARD SHORT/TERM CORP BOND ETF (VCSH)	A	Dividend	M	T	Buy	11/17/14	M		
55. -VANGUARD INTERM-TERM GOVT BD ETF (VGIT)	A	Dividend	K	T	Buy	11/17/14	K		
56. -VANGUARD INTERMEDIATE-TERM C ETF (VCIT)	A	Dividend	M	T	Buy	11/17/14	M		
57. -VANGUARD SHORT-TERM GOVT BOND-ETF (VGSH)	A	Dividend	L	T	Buy	11/17/14	L		
58. -VANGUARD REIT ETF (VNQ)	A	Dividend	K	T	Buy	09/04/14	K		
59.					Buy (add'l)	09/23/14	K		
60. -CNR PRIME MM FD SERV	A	Dividend	N	T	Buy	01/14/14	P1		
61. -CNR EMERGING MARKETS FD CL N	A	Dividend	M	T	Buy	09/02/14	M		
62.					Buy (add'l)	09/19/14	L		
63. -CNR DIVIDEND & INCOME FD CL N	C	Dividend	O	T	Buy	11/06/14	N		
64.					Buy (add'l)	12/04/14	N		
65. -VANGUARD SMALL-CAP ETF (VB)	A	Dividend	L	T	Buy	11/10/14	L		
66. -VANGUARD GLOBAL EX US REAL EST ETF (VNQ1)	A	Dividend	K	T	Buy	09/04/14	K		
67.					Buy (add'l)	09/23/14	K		
68. IRA #2 (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. -SCHWAB MONEY MARKET	A	Int./Div.			Sold	08/14/14	K		
70. IRA #3 (H)									
71. -Schwab Money Market	A	Int./Div.			Sold	8/27/14	J		
72. -PIMCO GLOBAL MULT ASSET (PGAAX)		None			Sold	01/14/14	K	A	See Part VIII
73. -CNR MONEY MARKET (CNGXX)	A	Int./Div.	J	T	Buy	08/27/14	J		
74. -ISHARES CORE GROWTH ALLOCATION ETF (AOR)	A	Dividend	K	T	Buy	09/09/14	K		
75. -WASATCH FRONTIER EMERGING SMALL CO'S (X)		None			Sold	09/04/14	K	B	
76. TRUST #1 (H)									
77. -SCHWAB MONEY MARKET	A	Int./Div.			Sold	08/14/14	J		
78. -U.S.BANK (ACCOUNTS)	A	Interest	L	T					
79. -BANC OF CALIFORNIA, INC (COMMON STOCK)	B	Dividend	K	T					
80. -RENTAL PROPERTY--LOS ANGELES COUNTY, CA.	D	Rent	P1	W					
81. PARTIAL INTEREST IN HOMEOWNERS ASSOC. ASSOCIATION		None	J	T					
82. LOIS NEITER FINE ART LLC	A	Distribution			Distributed	12/31/14	J	A	See Part VIII

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

Re. Section VII, line 82, Lois Neiter Fine Art LLC phased out of business as a fine art dealer and became a consultant.

Re. Section VII, line 72, PGAIX was inadvertently misspelled as PGAX in my Federal Disclosure Report dated 9/22/14 for the reporting period of 01/01/13 to 12/31/13.

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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
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Washington, D.C. 20544