

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Pregerson, Dean D.	2. Court or Organization Central District of California	3. Date of Report 05/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 312 N. Spring Street 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. Advisory Board Member	Salvation Army Los Angeles Metropolitan
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. _____

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.		
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. Real Estate, Pacific Palisades	F	Rent	P1	W					
2. Brokerage Account #1 (H)									
3. Schwab Money Market (SWFXX) (cash)	A	Int./Div.	J	T					
4. Schwab Value Advantage (SWVXX) (Y)									
5. MICROSOFT CORP (MSFT) (X)	D	Dividend	N	T					
6. Angel Oak Flexible Income (ANFIX)	A	Dividend			Sold (part)	04/08/17	J		
7.					Sold	05/03/17	J	A	
8. Doubleline Total Return (DBLTX)	A	Dividend			Sold (part)	04/08/17	J		
9.					Sold	05/03/17	J		
10. Riverpark Short Term (RPHIX)	A	Dividend			Sold (part)	04/08/17	J		
11.					Sold (part)	06/05/17	J		
12.					Sold	10/25/17	J		
13. Stone Ridge Alt. Lending (LENDX)	A	Dividend			Sold (part)	06/16/17	J		
14.					Sold	10/25/17	J		
15. American Beacon Bridgeway Large Cap Value Y (BWLYX)		None			Sold	06/05/17	J	A	
16. Artisan Int'l Fund Adv (APDIX)		None			Sold (part)	05/17/17	J		
17.					Sold	06/16/17	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 ~\$250,000,001 - \$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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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. Ashmore Emerging Markets (EFEIX)	A	Dividend			Sold	08/22/17	J	A	
19. Dodge & Cox Int'l Stocks (DODFX)		None			Sold (part)	03/21/17	L	A	
20.					Sold	04/18/17	J	A	
21. Driehaus Frontier Emerging Markets (DRFRX)		None			Sold	04/18/17	J	A	
22. Fidelity Contrafund (FCNTX)	A	Dividend			Sold	03/21/17	J	A	
23.					Sold	08/21/17	K	A	
24. FMI Large Cap Fund Inst (FMIQX)		None			Sold	05/03/17	J	A	
25.					Sold	08/22/17	J	A	
26. Glenmede Secured Options (GTSOX)		None			Sold	03/23/17	L		
27. Glenmede Secured Options Inst. (GLSOX)		None			Buy	03/23/17	L		
28.					Sold	05/03/17	J	A	
29. JPMorgan Mid Cap Value (FLMVX)		None			Sold	04/20/17	J		
30. Oberweis Int'l Opportunity Fund (OBIIX)		None			Sold (part)	04/18/17	J	A	
31.					Sold (part)	05/03/17	J	A	
32.					Sold	05/25/17	J	A	
33. Stone Ridge All Asset Variance (AVRPX)		None			Buy (add'l)	01/04/17	J		
34.					Buy (add'l)	01/13/17	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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☐ 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.					Sold	10/13/17	J	A	
36. Stone Ridge Reinsurance Risk (SRRIX)		None			Buy (add'l)	02/17/17	J		
37.					Sold	11/17/17	J		
38. Touchstone Small Cap Fund (TSFYX)		None			Sold	04/18/17	K		
39. Voya Midcap Opportunity Fund I (NMCIX)		None			Sold (part)	03/21/17	K	A	
40.					Sold	04/27/17	J	A	
41. Voya Scrutinized Credit (VCFIX)		None			Sold (part)	04/08/17	J		
42.					Sold (part)	05/03/17	J	A	
43.					Sold	10/25/17	J	A	
44. ELEMENTS US SMALL CAP: (ELSMX)		None			Buy	04/28/17	J		
45.					Sold (part)	08/21/17	J		
46.					Sold	10/25/17	J	A	
47. ELEMENTS INTERNATIONAL SMALL CAP PORT: (ELISX)		None			Buy	05/26/17	J		
48.					Sold	10/25/17	J	A	
49. Metlife Ins Co of Connecticut Annuity (variable) (H)									
50. Pimco Total Return		None	K	T					
51. Pioneer Strat Income		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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52. Met Eaton Floating		None	K	T					
53. MFS Emerging Markets		None	J	T					
54. Amer Funds Growth		None	J	T					
55. Harris Oakmark Intl		None	J	T					
56. Met Intl SM Company		None	J	T					
57. Brock Bond Income		None	J	T					
58. Neub Berman Genesis		None	J	T					
59. MFSValue Portfolio A		None	J	T					
60. LMIS Say SMCap Core		None	J	T					
61. Clarion Global Real		None	J	T					
62. IRA #1 (H)									
63. Schwab Money Market (SWGXX)	A	Interest	K	T					
64. Angel Oak Flexible Income (ANFIX)	C	Dividend			Sold	09/25/17	L		
65. DoubleLine Total Return Bond I (DBLTX)	C	Interest	L	T					
66. GUGGENHEIM MACRO OPPTY GUGGENHEIM MACRO OPPTY (GIOIX)	A	Dividend	L	T	Buy	09/25/17	L		
67. Riverpark Short Term Hi Yield (RPHIX)	B	Dividend	K	T					
68. Stone Ridge ALT Lending (LENDX)	D	Dividend	L	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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69. VOYA Securitized Credit (VCFIX)	B	Dividend	K	T					
70. ELEMENTS EMERGING MARKETS PORT (ELMMX)	C	Dividend	L	T	Buy	06/13/17	K		
71.					Buy (add'l)	06/26/17	K		
72. ELEMENTS INTERNATIONAL PORT; (ELINX)	C	Dividend	M	T	Buy	05/17/17	L		
73.					Buy (add'l)	05/18/17	L		
74. ELEMENTS INTERNATIONAL SMALL CAP PORT: (ELISX)	B	Dividend	L	T	Buy	04/19/17	L		
75. ELEMENTS US PORT: (ELUSX)	C	Dividend	N	T	Buy	04/19/17	N		
76.					Sold (part)	08/10/17	J		
77.					Sold (part)	08/17/17	J		
78. ELEMENTS US SMALL CAP: (ELSMX)	A	Dividend	L	T	Buy	04/20/17	L		
79. Glenmede Secured Options (GTSOX)		None			Sold	03/24/17	L		
80. Glenmede Secured Options Inst. (GLSOX)	C	Dividend	L	T	Buy	03/24/17	L		
81.					Sold (part)	12/14/17	J		
82. Stoneridge All Asset Risk Premium (AVRPX)	E	Dividend	M	T	Buy (add'l)	12/14/17	J		
83. StoneRidge Reinsurance Risk Premium Fd (SRPIX)	A	Dividend	L	T					
84. FMI Large Cap Fund INST (FMIQX)		None			Sold	04/18/17	M		
85. Fidelity Contrafund (FCNTX)	A	Dividend			Sold	04/18/17	M		

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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. JP Morgan Mid-Cap Value Fund (FLMVX)		None			Sold	04/20/17	K		
87. Touchstone Small Cap Core (TSFYX)		None			Sold	04/27/17	K		
88. Dodge & Cox International Stock Fund (DODFX)		None			Sold	05/17/17	L		
89. American Beacon Bridgeway Lg Cap (BWLTX)		None			Sold	04/18/17	M		
90. Artisan INTL Funds ADV (APDIX)		None			Sold	05/17/17	L		
91. Ashmore Emerging Markets Frontier (EFEIX)	A	Dividend			Sold	06/09/17	K		
92. Driehaus Frontier EMRG (DRFRX)		None			Sold	06/23/17	K		
93. Oberweis INTL OPPTY FD (OBIIX)		None			Sold	05/19/17	K		
94. Voya MidCap Opportunities (NMCIX)		None			Sold	04/27/17	K		
95. IRA #2 (H)									
96. Angel Flexible Income (ANFIX)	A	Dividend			Sold	09/22/17	J		
97. Angel Oak Multi-Strategy Fund (ANGIX)	A	Dividend	J	T					
98. Double Line Total Return Bond (DBLTX)	A	Dividend	J	T					
99. GUGGENHEIM MACRO OPPTY INST (GIOIX)	A	Dividend	J	T	Buy	09/25/17	J		
100. PIMCO Total Return Fund (PTTRX)	A	Dividend	J	T					
101. AMG Yackman Fund (YACKX)	A	Dividend	J	T					
102. DRIEHAUS FRONTIER EMRG MKTS FD (DRFRX) (X)	A	Dividend	J	T					

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103. ELEMENTS INTERNATIONAL PORT: (ELINX)	A	Dividend	J	T	Buy	05/18/17	J		
104. ELEMENTS US PORT: (ELUSX)	A	Dividend	J	T	Buy	04/19/17	J		
105. ELEMENTS US SMALL CAP: (ELSMX)	A	Dividend	J	T	Buy	04/28/17	J		
106. Touchstone Small Cap Core (TSFYX)		None			Sold	04/27/17	J		
107. Dodge & Cox International Stock Fund (DODFX)		None			Sold	05/17/17	J		
108. Fidelity Contra Fund (FCNTX)	A	Dividend			Sold	04/18/17	J		
109. FMI Large Cap FD INST (FMIQX)		None			Sold	04/18/17	J		
110. Oakmark International Sm Cap Fd (OAKEX)	A	Dividend	J	T	Sold (part)	01/12/17	J		
111. Voya Midcap Opportunity Fund (NMCIX)		None			Sold	04/27/17	J		
112. Stoneridge All Asset (AVRPX)	A	Dividend	J	T					
113. Stoneridge Reinsurance Risk Premium Fund (SRRIX)	A	Dividend	J	T					
114. Trust #1 (H)									
115. Cash - Charles Schwab (Y)									
116. iShares Russell 2000 (IWM)	B	Dividend	M	T					
117. Vanguard Growth (VUG)	C	Dividend	N	T					
118. XTRACKERS MSCI EURPE HDGD EQY ETF (DBEU)	C	Dividend	M	T					
119. ANGEL OAK MULTI STRATEGY INCM FD INSTL (ANGIX)	C	Dividend	M	T	Buy	05/04/17	M		

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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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. Doubleline Total Return (DBLTX)	D	Dividend	M	T					
121. EATON VANCE FLOATING RATE & HIGH INC I (EIFHX)	D	Dividend	M	T	Buy (add'l)	02/06/17	K		
122. VANGUARD SHORT TERM TAX EXEMPT ADMIRAL SHARE (VWSUX)	C	Dividend	N	T	Buy	02/06/17	N		
123. ARIEL INTL FD INST (AINIX)	B	Dividend	L	T	Buy	10/16/17	M		
124. Matthews Asia Dividend (MIPIX)	D	Dividend	M	T					
125. Vanguard Mid Cap Value Index (VMVAX)		None	N	T					
126. Vanguard 500 Index Fund (VFIAX)	D	Dividend	O	T					
127. WCM Focused Int'l Growth Fund (WCMIX)	A	Dividend	M	T					
128. Vaneck Vectors Unco Oil (FRAK)		None			Sold	10/13/17	K	D	
129. Pershing Square Ord Fund (Y)									
130. TCW Total Return Bond Fund (TGLMX)	B	Dividend			Sold (part)	03/15/17	K		
131.					Sold	05/04/17	M		
132. JP Morgan Chase Alerian (AMJ)	C	Dividend			Sold	10/13/17	L	D	

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.)*

Part VII, lines 118 and 121: Name changes; see 2016, lines 110 and 112, respectively.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Dean D. Pregerson**

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