

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) Fitzgerald, Michael W.	2. Court or Organization United States District Court, Central District of California	3. Date of Report 05/9/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States District Judge; active status	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 United States District Court 350 West First Street, Room 5250 Los Angeles, California 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. Director / Officer	Federal Bar Association, Los Angeles Chapter
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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2016	NALEO Educational Fund; salary
2. 2016	State of California, In-Home Supportive Services; miscellaneous income
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bar Association	3/2/16 to 3/3/16	San Diego, CA	Panelist	Transportation and lodging
2. University of California, Berkeley School of Law	12/9/16	Berkeley, CA	Officiant at Swearing-in Ceremony	Transportation
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.	Katherine George	Wedding Gift -- Catalina Lodging	\$500.00
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.	Citibank	Revolving credit	K
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. Bank of America - Cash Accounts	A	Interest	J	T					
2.									
3. Brokerage Account #2 (Personal) (H)									
4. American Beacon Bridgeway (BWLXX)		None			Sold	3/17/16	J		
5. Angel Oak Flexible INCM (ANFIX)	A	Dividend			Sold (part)	02/12/16	J		
6.					Sold	03/17/16	J		
7. Artisan Intl Fund Inv (ARTIX)		None			Sold	03/17/16	J	A	
8. Dodge & Cox Intl Stock (DODFX)		None			Sold	03/17/16	J	A	
9. Fidelity Contra Fund (FCNTX)	A	Dividend			Sold	03/17/16	J	A	
10. FMI Large Cap Fund (FMIHX)		None			Sold	03/17/16	J	A	
11. JPMorgan Mid Cap Val (FLMVX)		None			Sold	03/17/16	J	A	
12. Oakmark Intl Sm Cap (OAKEX)		None			Sold	03/15/16	J	A	
13. Oberweis Intl Oppty Fd Inst (OBHIX)	A	Dividend	J	T	Buy	03/16/16	J		
14. Schwab Amt TF MMF (SWFXX)	A	Dividend	J	T	Sold (part)	01/19/16	J		
15.					Buy (add'l)	02/16/16	J		
16.					Sold (part)	02/17/16	J		
17.					Buy (add'l)	03/16/16	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 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 \$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				
	(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)

18.					Sold (part)	03/17/16	J		
19.					Buy (add'l)	03/18/16	K		
20.					Sold (part)	03/21/16	K		
21.					Buy (add'l)	04/19/16	J		
22.					Buy (add'l)	05/25/16	J		
23.					Sold (part)	06/30/16	J		
24.					Sold (part)	07/16/16	J		
25.					Sold (part)	07/20/16	J		
26.					Sold (part)	10/19/16	J		
27. Stone Ridge All Asset Variance Risk Prem Com Cl (AVRPX)		None			Buy	02/16/16	J		
28.					Sold	04/18/16	J		
29. Stone Ridge Reinsurance (SRRIX)		None			Sold	05/24/16	J	A	
30. Touchstone Small Cap (TSFYX)		None			Sold	03/17/16	J	A	
31. Wasatch Frontier Emrg Sm (WAFMX)		None			Sold	03/17/16	J		
32.									
33. Brokerage Account #3 (IRA) (H)									
34. American Beacon Bridgeway Lg Cap Value (BWLYX)	B	Dividend	M	T					

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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	
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35. Angel Oak Flexible Incm (ANFIX)	C	Dividend	L	T	Sold (part)	02/18/16	K		
36. Artisan Intl Fund (APDIX)	B	Dividend	L	T	Buy	07/21/16	L		
37. Artisan Intl Fund Inv (ARTIX)		None			Sold	07/21/16	L		
38. Ashmore Emrg Mkts (EFEIX)	A	Dividend	K	T					
39. Dodge & Cox Intl Stock Fund (DODFX)	C	Dividend	L	T					
40. Driehaus Frontier Emrg (DRFRX)	A	Dividend	K	T	Buy	07/12/16	K		
41. Fidelity Contra Fund (FCNTX)	D	Dividend	M	T	Sold (part)	01/04/16	J		
42. FMI Large Cap Fund (FMIHX)		None			Sold	11/17/16	M		
43. FMI Large Cap Fund Inst (FMIQX)	D	Dividend	M	T	Buy	11/17/16	M		
44.					Sold (part)	12/29/16	J		
45. Glenmede Secured Options (GTSOX)		None	L	T	Buy	12/14/16	L		
46. JPMorgan Mid Cap Value Inst (FLMVX)	C	Dividend	L	T					
47. Oakmark Intl Small Cap (OAKEX)		None			Sold	03/15/16	L		
48. Oberweis Intl Oppty Fd Inst (OBILX)	A	Dividend	L	T	Buy	03/16/16	L		
49. Schooner Hedged Alt Incm (SHAIX)	D	Dividend			Sold	12/13/16	L		
50. Schwab Govt Money Fund (SWGXX)		None	J	T	Buy (add'l)	01/04/16	J		
51.					Buy (add'l)	01/06/16	J		

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52.					Sold (part)	01/19/16	J		
53.					Sold (part)	04/19/16	J		
54.					Sold (part)	07/20/16	J		
55.					Sold (part)	07/22/16	J		
56.					Sold (part)	10/19/16	J		
57.					Sold (part)	11/18/16	J		
58. Stone Ridge All Asset Variance Risk Prem (AVRPX)	D	Dividend	M	T	Buy (add'l)	02/16/16	K		
59. Stone Ridge Reinsurance Risk Prem Interval (SRRIX)	C	Dividend	L	T					
60. Touchstone Small Cap Core Fd (TSFYX)	A	Dividend	K	T					
61. Voya Midcap Oppty Fd I (NMCIX)	B	Dividend	K	T					
62. Wasatch Frontier Emrg Sm (WAFMX)		None			Sold	07/11/16	K		
63.									
64. Wells Fargo Bank -- Cash Accounts (X)		None	K	T					
65.									
66. Brokerage Account #4 (Personal) (H) (X)									
67. Cash Account (X)		None	J	T					
68. Vivaldi Multi Strategy Fd CL 1 (OMOIX) (X)		None	J	T					

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69. Vivaldi Merger Arbitrage Fd CL 1 (VARBX) (X)	A	Dividend	J	T	Sold (part)	07/29/16	J		
70. Altegris Futures Evolution CL 1 (EVOIX) (X)	A	Dividend	J	T	Sold (part)	07/29/16	J		
71. Van Eck Internat'l Investors Gold Fd (INIYX) (X)	A	Dividend	J	T	Buy (add'l)	08/17/16	J		
72. Stoneridge Reinsurac Risk Prem Interval (SRRIX) (X)	A	Dividend	J	T					
73. Pimco Income Fund Institutional Fund (PIMIX) (X)	A	Dividend	J	T	Sold (part)	07/29/16	J		
74.					Buy (add'l)	08/17/16	J		
75. Thornburg Ltd Term Income Class 1 (TXIIX) (X)	A	Dividend	K	T	Buy	09/07/16	K		
76. Sprott Physical Gold Trust Unit common stock (X)		None	J	T					
77. Carter Validus Mission Critical REIT Inc Com (X)	A	Dividend	J	T					
78. U.S. Treasury Bd Stripped Prim Pmt (X)		None			Sold	08/04/16	K		
79.									
80. Brokerage Account #5 (IRA) (H) (X)									
81. Fidelity Government Cash Reserves (FDRXX) (X)		None	J	T					
82. Vivaldi Multi Strategy Fd CL 1 (OMOIX) (X)	A	Dividend	J	T					
83. Vivaldi Merger Arbitrage Fd CL 1 (VARBX) (X)	A	Dividend	J	T					
84. Altergris Futures Evolution (EVOIX) (X)	A	Dividend	J	T					
85. Pimco Income Fund Institutional Fund (PIMIX) (X)	A	Dividend	J	T					

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86. Stonebridge Reinsurac Risk Prem Interval (SRRIX) (X)	A	Dividend	J	T					
87. Thornburg Ltd Term Income Class 1 (THIIX) (X)	A	Dividend	J	T	Buy	09/07/16	J		
88. U.S. Treasury Bd Stripped Prin Pmt (X)		None			Sold	08/04/16	J		
89.									
90. Pension Fund (H) (X)		None							
91. Flx Int/Stable Value/Cash, AUL Foxed Account / FIXD (X)	A	Dividend	L	T					
92. Pioneer Bond Y / PBYA (X)		None	L	T					
93. Alger Capp App Portfolio 1-2 / AAL2 (X)	B	Dividend	K	T					
94. AmerCent MidCap Val Inv / ACKM (X)	A	Dividend	J	T					
95. Oppenheimer Main St Mid Cap Y / OMMY (X)	B	Dividend	K	T					
96. Calbert SmCap Fd A / CSCV (X)	D	Dividend	L	T					
97. MFS Intl New Discovery A / MID2 (X)		None	K	T					
98.									
99.									
100.									

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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/ Michael W. Fitzgerald

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