

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Neff, Janet T.	2. Court or Organization US District Court Western District of Michigan	3. Date of Report 09/18/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge, active status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 110 Michigan Street NW Suite 402 Grand Rapids, Michigan 49503		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Insert signature on last page.		

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. _____	_____
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. 1989	Michigan Judges retirement System - Pension upon Retirement from Michigan Court of Appeals
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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. 2011	State of Michigan pension	\$90,864.60
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. 2011	State of Michigan pension
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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. Grand Rapids Family Credit Union	A	Interest	M	T					
2. IRA - Charles Schwab	F	Int./Div.	O	T					
3. -Appleseed Fd Investor Cl					Sold	10/07/11	K		
4. - Columbia Thermostat Fund Cl A					Sold	08/08/11	K		
5. - Fairholme Alloc Fd					Buy	08/09/11	K		
6.					Sold	11/04/11	L		
7. - Meridian Growth Fund					Sold	05/03/11	K		
8. -Meridian Growth Fund					Sold	11/04/11	L		
9. - Wintergreen Fund					Sold	03/17/11	K		
10. - Akre Focus Fd Inst					Sold (part)	10/11/11	K		
11. - Akre Focus Fd Retail					Sold	05/03/11	L		
12. - Iva Worldwide Fd Cl					Sold	08/08/11	M		
13. -Royce Global Value Fd Service CL					Buy	12/08/11	J		
14. - Iva Worldwide					Buy (add'l)	12/14/11	J		
15. - Meridian Growth Fund					Buy (add'l)	12/15/11	J		
16. - FPA Crescent Fund Inst CL Shares					Buy (add'l)	12/20/11	J		
17. - Hussman Strategic Growth					Buy (add'l)	12/30/11	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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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 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. - Ivy Asset Strategy Fund C1 A					Buy	12/08/11	J		
19. Chase Bank	A	Int./Div.	K	T					
20. - Schwab Adv cash Reserve					Buy (add'l)	11/08/11	M		
21. - Hussman Strategic Growth					Buy (add'l)	10/13/11	K		
22. - Schwab Adv Cash Reserve					Buy (add'l)	10/13/11	K		
23. - Schwab Adv Cash Reserve					Buy (add'l)	10/12/11	K		
24. - Ivy Asset Strategy Fund CL A					Buy	08/09/11	K		
25. - Royce Global Value FD Service					Buy	08/09/11	K		
26. - Meridian Growth Fund					Buy (add'l)	08/08/11	K		
27. - FPA Crescent Fund Inst C1					Buy (add'l)	07/01/11	J		
28. - Columbia Thermostat Fund CL A					Buy (add'l)	06/08/11	J		
29. - Schwab Adv Cash Reserve					Buy (add'l)	05/05/11	M		
30. - Schwab Adv Cash Reserve					Buy (add'l)	03/21/11	K		
31. - Hussman Strategic Growth					Buy (add'l)	02/10/11	K		
32. - Schwab Adv Cash Reserve					Sold	10/14/11	K		
33. - Schwab Adv Cash Reserve					Sold	08/10/11	J		
34. -Schwab Adv Cash Reserve					Sold	08/04/11	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 = \$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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

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35. -Schwab Adv Cash Reserve					Sold	04/19/11	J		
36. -Schwab Adv Cash Reserve					Sold	02/11/11	K		
37. -Schwab Adv Cash Reserve					Sold	01/19/11	J		
38. -Schwab Adv Cash Reserve					Sold	01/03/11	L		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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

Line 10 - Item was listed on Financial Disclosure Report dated 9/27/2011, line 37.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Neff, Janet T.

Date of Report

09/18/2012

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/ **Janet T. Neff**

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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