AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2012

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)	2. Court or Organization	3. Date of Report
Neff, Janet T.	US District Court Western District of Michigan	05/14/2013

4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	5a. Report Type (check appropriate type)	6. Reporting Period
US District Judge, Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final 5b. ☐ Amended Report	01/01/2012 to 12/31/2012

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

Name of Person Reporting	Date of Report
Neff, Janet T.	05/14/2013

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. 2012	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.)*

DATE	SOURCE AND TYPE
1. 2012	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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Neff, Janet T.	05/14/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Neff, Janet T.	05/14/2013

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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	E	Int./Div.	O	T					
3.	Chase Bank	A	Int./Div.	J	T					
4.	- Hennessy Gas utility Index Fd					Buy	12/31/12	J		
5.	- FPA Intl Value Fund					Buy	12/31/12	L		
6.	- Fairholme Alloc Fd					Buy	12/28/12	J		
7.	- Grandeur Peak Glbl Oppty					Buy	12/27/12	J		
8.	-Grandeur Peak Glbl Oppty					Buy	12/20/12	K		
9.	- Artisan Global Eqty Fd					Buy	12/20/12	L		
10.	- IVA worldwide Fd Cl					Buy (add'l)	12/13/12	J		
11.	- Seafarer Overseas Gwth & Income Fd					Buy	12/12/12	J		
12.	- Mainstay Marketfield Fd					Buy	12/07/12	J		
13.	- Hennessy Gas utility Index Fd Inv Cl					Buy	12/07/12	J		
14.	- Schwab Adv cash Reserve					Buy (add'l)	11/27/12	J		
15.	- Fairholme Alloc Fd					Buy	11/14/12	K		
16.	- Mainstay Marketfield Fd					Buy	10/04/12	K		
17.	- FBR gas Utility Index fund Inv Cl					Buy	09/28/12	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	
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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Neff, Janet T.	05/14/2013

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. - Schwab Adv Cash Reserve					Buy (add'l)	09/25/12	L		
19. - Seafarer Overseas Gwth & Incm Fd					Buy	07/27/12	K		
20. - Fairholme Alloc Fd					Buy	07/25/12	K		
21. - FPA Crescent Fund Inst CLShares					Buy (add'l)	07/02/12	J		
22. - FBR Gas utility Index fund Inv Cl					Buy	06/29/12	J		
23. - Grandeur Peak Glbl Oppty Inv					Buy	06/05/12	K		
24. - Fairholme Alloc Fd					Buy	06/05/12	K		
25. - FBR Gas Utility Index Fund Inv Cl					Buy	06/05/12	K		
26. - Meridian Growth Fund					Buy (add'l)	06/05/12	L		
27. - Fairholme Alloc Fd					Buy	05/18/12	K		
28. - Fairholme Alloc Fd					Buy	05/16/12	K		
29. - Schwab Adv Cash Reserve					Buy (add'l)	02/01/12	L		
30. -Schwab Adv Cash Reserve					Sold (part)	12/21/12	L		
31. -Schwab Adv Cash Reserve					Sold (part)	11/29/12	J		
32. -Schwab Adv Cash Reserve					Sold (part)	11/15/12	K		
33. -Schwab Adv Cash Reserve					Sold (part)	10/11/12	J		
34. -Schwab Adb Cash Reserve					Sold (part)	10/05/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. -Royce Global Value Fd Service CL					Sold	09/21/12	K		
36. -Meridian Growth Fund					Sold	09/21/12	L	D	
37. -Schwab Adv Cash Reserve					Sold (part)	07/30/12	K		
38. -Schwab Adv Cash Reserve					Sold (part)	07/26/12	K		
39. -Schwab Adv Cash Reserve					Sold (part)	07/16/12	J		
40. -Schwab Adv Cash Reserve					Sold (part)	06/06/12	L		
41. -Hussman Strategic Growth					Sold	06/05/12	L		
42. - Schwab Adv Cash Reserve					Sold (part)	05/21/12	K		
43. -Schwab Adv Cash Reserve					Sold (part)	05/17/12	K		
44. -Schwab Adv Cash Reserve					Sold (part)	04/13/12	J		
45. -Schwab Adv Cash Reserve					Sold (part)	02/02/12	J		
46. -Ivy Asset Strategy Fund Cl A					Sold	01/30/12	L	A	
47.									

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
Neff, Janet T.	05/14/2013

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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