AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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	04/26/2022
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, Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☑ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	1989	Michigan Judges Retirement System - Pension upon Retirement from Michigan Court of Appeals
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	State of Michigan Pension	$90,865.00
2.	2021	JP Morgan Clearing Corp Retirement	$38,725.46
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
1.	2021	State of Michigan Pension
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ NONE *(No reportable reimbursements.)*

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

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Neff, Janet T.	04/26/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
1. Chase Bank - Deposit Account	A	Int./Div.	L	T					
2. IRA #1 (H)									
3. - Blackrock FDS V - BRHYX	A	Dividend			Sold (part)	04/20/21	K		
4.					Sold	05/18/21	K		
5. - Dodge & Cox Income Fund - DODIX	A	Dividend	J	T					
6. - Fidelity Salem STR TR - FXAIX	A	Dividend	L	T	Sold (part)	01/27/21	K		
7.					Sold (part)	02/16/21	K		
8.					Sold (part)	07/14/21	K		
9.					Buy (add'l)	10/25/21	J		
10.					Buy (add'l)	11/26/21	J		
11.					Sold (part)	12/07/21	J		
12. -Ishares Trust - GOVT	A	Dividend			Buy	04/21/21	K		
13.					Sold	07/27/21	K		
14. -Ishares Trust - IEF	A	Dividend			Buy	02/17/21	J		
15.					Sold	07/27/21	J		
16. -Ishares Trust - MBB	A	Dividend	J	T	Buy	07/15/21	J		
17.					Sold (part)	07/27/21	J		

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	
	U =Book Value	V =Other	W =Estimated		

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VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ NONE *(No reportable income, assets, or transactions.)*

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Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		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)	
18. - Ishares Core MSCI - IEMG	A	Dividend			Sold	10/26/21	K		
19. - Ishares 20 Plus - TLT	A	Dividend			Sold (part)	02/17/21	J		
20.					Sold	04/21/21	K		
21. - JP Morgan Exchange - BBCA	A	Dividend	K	T	Sold (part)	07/15/21	J		
22.					Sold (part)	10/26/21	J		
23. - JP Morgan Exchange - BBAX	A	Dividend	K	T	Buy (add'l)	01/28/21	J		
24.					Buy (add'l)	11/29/21	J		
25. -JP Morgan Exchange - BBEU	A	Dividend	K		Buy	01/28/21	J		
26.					Buy (add'l)	04/21/21	J		
27.					Buy (add'l)	05/19/21	J		
28.					Buy (add'l)	11/29/21	J		
29. -JP Morgan Exchange - BBJP	A	Dividend	K		Buy	01/28/21	J		
30.					Buy (add'l)	07/15/21	J		
31.					Sold (part)	10/26/21	J		
32. - JP Morgan TR II - JCBUX	A	Dividend	K	T	Buy (add'l)	07/14/21	J		
33.					Sold (part)	07/26/21	K		
34.					Sold (part)	12/07/21	J	A	

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	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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35. - JP Morgan TR II - QCVEZ	A	Dividend	J	T					
36. - PIMCO FDS Pac Invt Mgmt - PIGIX	A	Dividend			Sold	01/27/21	K		
37. - Six Circles Tr - CIUEX	B	Dividend	L	T	Buy (add'l)	04/20/21	J		
38.					Buy (add'l)	10/25/21	J		
39.					Buy (add'l)	11/26/21	J		
40.					Sold (part)	12/07/21	J		
41. - Six Circles Tr - CGLBX	B	Dividend	L	T	Buy (add'l)	07/14/21	J		
42.					Sold (part)	10/25/21	J		
43.					Buy (add'l)	11/26/21	J		
44.					Sold (part)	12/07/21	J		
45. - Six Circles Tr - CUSDX	A	Dividend	J	T					
46. - Six Circles Tr - CUSUX	D	Dividend	L	T	Buy (add'l)	02/16/21	J		
47.					Sold (part)	07/14/21	J		
48.					Sold (part)	10/25/21	J	D	
49.					Buy (add'l)	11/26/21	J		
50. - Six Circles Tr. - CRDOX	A	Dividend	K	T					
51. - Vanguard Bond Index FD - VBTLX	A	Dividend	K	T					

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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

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52. - Vanguard Index Tr - VFIAX	B	Dividend	M	T					
53. - Vanguard Charlotte Fd - VTABX	B	Dividend	L	T					
54. - Vanguard Intermediate - VCIT					Sold	01/28/21	J		
55. -Vanguard Short Term Bond - BSV	A	Dividend	L	T	Buy	05/19/21	J		
56.					Buy (add'l)	07/27/21	L		
57.					Sold (part)	10/26/21	J		
58.					Buy (add'l)	11/29/21	J		
59.					Sold (part)	12/08/21	J		
60. -Vanguard Total Bond - BND	A	Dividend	J	T	Buy	07/15/21	J		
61.					Sold (part)	10/26/21	J		
62.					Buy (add'l)	11/29/21	J		
63.					Sold (part)	12/08/21	J		
64. - Vanguard Total Int'l Bond - BNDX	C	Dividend	L	T	Buy (add'l)	07/15/21	K		
65.					Sold (part)	10/26/21	J		
66.					Buy (add'l)	11/29/21	J		
67.					Sold (part)	12/08/21	J		
68. Trust #1 (H)									

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69. - Chase Bank Deposit Account - QCPCM	A	Dividend	K	T					
70. - Blackrock Event Driven - BILPX	A	Dividend	K	T	Buy (add'l)	06/21/21	J		
71.					Buy (add'l)	11/22/21	J		
72. - Calvert World Values FD - CVMRX	A	Dividend	K	T	Buy (add'l)	06/21/21	J		
73.					Buy (add'l)	11/22/21	J		
74. - Columbia FDS Ser TR I - CGTUX	A	Dividend	K	T	Sold (part)	06/21/21	J	B	
75.					Sold (part)	11/22/21	J		
76. - Dodge & Cox Stock Fund - DODGX	A	Dividend	L	T	Sold (part)	06/21/21	J	B	
77. - Domini Social Invt TR - DOMOX	A	Dividend	K	T	Sold (part)	06/21/21	J		
78.					Buy (add'l)	11/22/21	J		
79. - DWS Intermediate Tax Free - SZMIX	B	Dividend	L	T	Buy (add'l)	06/21/21	J		
80.					Buy (add'l)	11/22/21	J		
81. - IShares - DSI	B	Dividend	M	T	Sold (part)	06/22/21	J		
82.					Sold (part)	11/23/21	J		
83. - IShares Gold Trust - IAU		None	K	T	Buy (add'l)	06/22/21	J		
84. - IShares TR - MTUM	A	Dividend	K	T	Buy (add'l)	06/22/21	J		
85.					Sold (part)	11/23/21	J		

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86. - IShares TR - VLUE	B	Dividend	L	T	Buy (add'l)	11/23/21	J		
87.					Sold (part)	06/22/21	J		
88. - IShares Trust - CRBN	A	Dividend	K	T					
89. - IShares Trust - MUB	B	Dividend	L	T	Buy (add'l)	06/22/21	J		
90.					Buy (add'l)	11/23/21	J		
91. - JP Morgan TR I - JMSFX	B	Dividend	K	T	Buy (add'l)	06/21/21	J		
92.					Buy (add'l)	11/22/21	J		
93. - JP Morgan TR I - JITZX	B	Dividend	L	T	Buy (add'l)	06/21/21	J		
94.					Buy (add'l)	11/22/21	J		
95. - MFS SER TR III - MMHKX	A	Dividend	K	T	Buy (add'l)	11/22/21	J		
96. - Neuberger Berman Equity - NRGSX	A	Dividend	K	T	Sold (part)	11/22/21	J	C	
97. - Parnassus FDS - PFPMX	A	Dividend	K	T					
98. - Parnassus Income TR - PRILX	B	Dividend	M	T	Sold (part)	06/21/21	J	D	
99. - Pax MSCI EAFE ESG Leaders - PXNIX	A	Dividend	K	T					
100. - Payden & Rygel Invt Group - PYEIX	A	Dividend	K	T	Buy (add'l)	06/21/21	J		
101.					Buy (add'l)	11/22/21	J		
102. - Select Sector SPDR Trust - XLV	A	Dividend	K	T					

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103. - Select Sector SPDR Trust - XLK	A	Dividend	K	T	Sold (part)	11/23/21	J		
104. - TIAA CREF FFDS - TSBIX	A	Dividend	L	T	Buy (add'l)	06/21/21	J		
105.					Buy (add'l)	11/22/21	J		
106. - Vanguard Index Funds - VO	A	Dividend	K	T	Sold (part)	11/23/21	J		
107. - WCM Focused International - WCMIX	A	Dividend	K	T	Sold (part)	11/22/21	J	B	

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	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Neff, Janet T.	04/26/2022

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

Part IIIA: Line2: JP Morgan Clearing Corp Retirement account added as distribution was made in 2021.

Name of Person Reporting	Date of Report
Neff, Janet T.	04/26/2022

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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