

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Aspen, Marvin E.	2. Court or Organization U.S. DISTRICT COURT	3. Date of Report 06/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) UNITED STATES DISTRICT J	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 219 SOUTH DEARBORN STREET ROOM 2578 CHICAGO, IL 60604		
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. ADVISORY BOARD OF DIRECTORS	AMERICAN BAR ASSOCIATION/AMERICAN BAR ASSOCIATION RETIREMENT FUNDS
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2013	STATE OF ILLINOIS (PENSION)	\$26,307.00
2. 2013	THE RUTTER GROUP (ROYALTIES)	\$3,550.49
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.	
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.	AMERICAN BAR ASSOCIATION	1/17-19/2013	Marcos Island, Florida	Meeting	Travel-related expenses/coach air; hotel; meals
2.	AMERICAN BAR ASSOCIATION AND ABA RETIREMENT FUNDS	3/20-24/2013	Charleston, South Carolina	Meeting	Travel-related expenses/coach air, hotel, meals
3.	AMERICAN BAR ASSOCIATION AND ABA RETIREMENT FUNDS	6/5-8, 2013	Boston, Massachusetts	Meeting	Travel-related expenses/coach air, hotel, meals
4.	AMERICAN BAR ASSOCIATION	8/8-11/2013	San Francisco, California	Meeting	Travel-related expenses/coach air, hotel, meals

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5.	AMERICAN BAR ASSOCIATION AND ABA RETIREMENT FUNDS	9/25-28/2013	Snoqualmie, Washington	Meeting	Travel-related expenses/coach air, hotel, meals
6.	AMERICAN BAR ASSOCIATION AND ABA RETIREMENT FUNDS	12/4-12/2013	Key West, Florida	Meeting	Travel-related expenses/coach air, hotel, meals

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. J. P. MORGAN CHASE	D	Interest	N	T					
2. FIRST BANK OF HIGHLAND PARK	A	Interest	J	T					
3. AMERICAN TELEPHONE & TELEGRAPH CO. (COMMON STOCK)	A	Dividend	K	T					
4. EXXON MOBIL CORPORATION (COMMON STOCK)	B	Div	L	T					
5. PACIFIC GAS & ELECTRIC CO. (COMMON STOCK)	A	Dividend	J	T					
6. PFIZER, INC. (COMMON STOCK)	C	Div	L	T					
7. COMMERCIAL BUILDING, NORTHBROOK, IL (LTD PTNRSH)	F	Dividend	L	U					
8. BSV (LIMITED PARTNERSHIP)	G	Dividend	L	U					
9. MICROSOFT CORP.	A	Dividend	L	T					
10. NASDAQ 100 TRUST SERI	A	Dividend	J	T					
11. MANUAL FINANCIAL CORP	A	Dividend			Sold	02/20/13	J	A	
12. INTEL CORP	A	Dividend	J	T					
13. LSI CORP	A	Dividend			Sold	05/29/13	J	A	
14. P & G CORP	B	Dividend	K	T					
15. ALL STATE CORP	A	Dividend			Sold	02/20/13	J	A	
16. CONNOCO PHILLIPS	A	Dividend	J	T					
17. GENERAL ELECTRIC CO	A	Dividend	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 \$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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18. HEWLETT PACKARD CO.	A	Dividend	J	T					
19. SPRINT NEXTEL CORP.	A	Dividend	J	T					
20. TEXAS INSTRUMENTS INC	A	Dividend	J	T					
21. VIACOM INTL.	A	Dividend	J	T					
22. FIDELITY BALANCED MUTUAL FUND	B	Dividend	K	T					
23. DREYFUS BALANCED OPPORTUNITY MUTUAL FUND	B	Dividend	K	T					
24. SIT BALANCED MUTUAL FUND	C	Dividend	L	T					
25. WATER TECH INC.	A	Dividend	J	T					
26. WESTERN DIGITAL CORP	A	Dividend	J	T					
27. JABIL CIRCUIT INC.	A	Dividend			Sold	05/29/13	J	B	

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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/ Marvin E. Aspen**

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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