

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) Bernthal, David G.	2. Court or Organization U.S. District Court, CD/IL	3. Date of Report 05/11/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	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 114 U.S. Courthouse 201 S. Vine Street Urbana, IL 61801		
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. 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.	Director	Illinois HMO Guarantee Association
2.	Adjunct Professor	University of Illinois
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. 1/87	Deferred Compensation Plan, State of Illinois (former employee) (SEE VIII)
2. 1/09	State Universities Retirement System of Illinois (SURS)
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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	University of Illinois (teaching)	\$5,500.00
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	Self-Employed (Real Estate Sales)
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. IPLAC (Intellectual Property Law Association of Chicago)	2/10/11-2/11/11	Chicago, IL	Moot Court Competition	Lodging/Train Ticket
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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. Marine Bank	A	Interest	J	T					
2. Angeles Partners XIV Limited Partnership	A	Rent	J	W					
3. Busey Bank Account	A	Interest	J	T					
4. Busey Bank Account	A	Interest	J	T					
5. Busey Bank Account	A	Interest	J	T					
6. Busey Bank Account	A	Interest	J	T					
7. Busey Bank Account	A	Interest	J	T					
8. Busey Bank Account	A	Interest	K	T					
9. Consecro, Inc. Note Due 10/15/2006 (IRA)- See Note Pt. VIII	A	Interest	J	T					
10. DFA Intl Small Co Port Fund (IRA) DFISX	A	Dividend	J	T					
11. DFA Intl Lg Value Portfolio (IRA) DFIVX	B	Dividend	K	T					
12. DFA Real Estate Securities Portfolio (IRA) DFREX	A	Dividend	L	T	Buy	10/24/11	J		
13. DFA US Small XM Value Portfolio (IRA) DFFVX	A	Dividend	K	T	Sold (part)	10/21/11	K	A	
14. DFA Five Year Govt Portfolio (IRA) DFFGX	A	Dividend	K	T					
15. DFA Emerging MKTS Val Portfolio (IRA) DFEVX	A	Dividend	J	T					
16. DFA US Large Value Portfolio (IRA) DFLVX	B	Dividend	L	T	Sold (part)	10/21/11	K	A	
17. DFA Two-Year Global Fixed Income Portfolio (IRA) DFGFX	A	Dividend			Sold	10/3/11	J	A	

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 = \$250,000.01 - \$500,000.00	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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)

18. DFA Emerging MKTS Sncap Portfolio (IRA) DEMSX	A	Dividend	K	T					
19. DFA Emerging MKTS Portfolio (IRA) DFEMX	A	Dividend	K	T					
20. DFA One Year Fixed Income Portfolio (IRA) DFHIX	A	Dividend	K	T					
21. DFA Intl Smallcap Value Portfolio (IRA) DISVX	A	Dividend	K	T					
22. DFA US Large Co Portfolio (IRA) DFUSX	B	Dividend	M	T					
23. DFA US Micro Cap Portfolio (IRA) DFSCX	A	Dividend	K	T	Sold (part)	10/21/11	K	A	
24. T. Rowe Price Retirement 2010 Fund	A	Dividend	L	T					
25. DFA Emerging Markets Fund IRA DFEMX	A	Dividend	J	T					
26. DFA Emerging Markets S Fund IRA DEMSX	A	Dividend	J	T					
27. DFA Emerging Markets V Fund IRA DFEVX	A	Dividend	J	T					
28. DFA Int'l Small Cap Value Fund IRA DISVX	A	Dividend	J	T					
29. DFA Int'l Small Company Fund IRA DFISX	A	Dividend	J	T					
30. DFA Int'l Value Fund IRA DFIVX	A	Dividend	J	T					
31. DFA Real Estate Securities Fund IRA DFREX	A	Dividend	J	T					
32. DFA U.S. Large Cap Value Fund IRA DFLVX	A	Dividend	J	T	Sold (part)	10/21/11	J	A	
33. DFA U.S. Large Company Fund IRA DFUSX	A	Dividend			Sold	10/21/11	J	A	
34. DFA U.S. Micro Cap Fund IRA DFSCX	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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)

35. DFA U.S. Small Cap Value Fund IRA DFSVX	A	Dividend	J	T					
36. Fidelity Cash Reserves	A	Interest	J	T					
37. Fidelity Cash Reserves See Note VIII	A	Interest	J	T					
38. DFA US Core Equity II DFQTX (IRA)	A	Dividend	L	T	Buy	10/24/11	K		
39. Vanguard Inflation Protected Secs VIPSX (IRA)	B	Dividend	K	T					
40. DFA Int'l Core Equity DFIEX (IRA)	B	Dividend	L	T	Buy	10/21/11	J		
41. State Universities Retirement System	A	Interest	J	T					
42. Busey Bank Account	A	Interest	J	T					
43. DFA Emerging Mkts Core DFCEX	A	Dividend	J	T	Buy	10/24/11	J		
44. DFA Int'l Core DFIEX	A	Dividend	J	T	Buy	5/31/11	J		
45. DFA Int'l Core DFIEX (	A	Dividend	J	T	Buy	11/28/11	J		
46. DFA US Core EQII DFQTX	A	Dividend	J	T	Buy	5/31/11	J		
47. DFA US Core EQII DFQTX (	A	Dividend	J	T	Buy	11/28/11	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	
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 7 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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

II. AGREEMENTS --

1. Deferred Compensation Plan - I am no longer a contributing participant in the plan. Administrators will hold previous contributions pursuant to an irrevocable election.

VII. INVESTMENTS and TRUSTS --

Line 9 Conseco Note reported in default.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Bernthal, David G.

Date of Report

05/11/2012

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/ David G. Bernthal**

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