

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Wake, Neil V.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 09/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 401 W. Washington St., SPC 52 Phoenix, AZ 85003		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Law Offices of Neil Vincent Wake Money Purchase Plan (I am sole beneficiary)
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.	
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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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.			

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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. Wells Fargo accounts	A	Interest	J	T					
2. Apache Peak Inv., LLC		None	J	U					
3. Whetstone Dev. Co. (common stock)		None	J	U					
4. Interstate Ventures V Ltd. Ptshp		None	J	U					
5. IRA # 1									
6. --BlackrockGlobal Allocation C	A	Dividend	K	T					
7. --Morgan Stanely Liquid Assets Fund	A	Dividend	J	T					
8. UTMA Acct # 3									
9. --Morgan Stanley Bk Deposit	A	Interest	J	T					
10. BROKERAGE ACCT # 3									
11. --SEI Tax-Free Fund (MM)	A	Dividend	J	T					
12. --SEI Real Estate Fd	A	Dividend	J	T					
13. --SEI Tax Managed Vol Fd	A	Dividend	J	T					
14. --SEI Intermed Term Muni Fd	A	Dividend	J	T					
15. --SEI Short Duration Muni Fd	A	Dividend	J	T					
16. --SEI Tax AdvantagedInc Fd	A	Dividend	J	T					
17. Voya (formerlyl ING USA Annuity & Life Ins Co) (annuity)		None	N	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 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	

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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)

18. --Voya Retirement Moderate A		None	N	T					
19. Amer. Inv. Life Ins. (AVIVA) Co. (annuity) (fixed)		None	N	T					
20. BROKERAGE ACCT # 4									
21. --Morgan Stanley Bank	A	Dividend	J	T	Buy	09/01/16	J		
22. --SEI Intermed. Term Municipal Fd	A	Dividend	J	T					
23. --Cisco Systems Inc (common)	A	Dividend	J	T					
24. --SEI Short Duration Municipal Fd	A	Dividend	L	T					
25. --STET Tax-Advantaged Income Fd # 19	A	Dividend	J	T					
26. --SEI Tax Managed Volume Fd	A	Dividend	J	T					
27. --SEI RealEstate Fd	A	Dividend	J	T					
28. --SEI Tax-Free Fd	A	Dividend	J	T					
29. Business Dev Corp of America	D	Dividend	L	W					
30. Jackson Nat. Life Ins. Co. (annuity)		None	P1	T					
31. --JNL/S&P Managed Moderate Growth		None	N	T					
32. --JNL/S&P Managed Moderate		None	P1	T					
33. Pinal County, AZ, land		None	K	W					
34. Mohave County, AZ, land		None	J	W					

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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35. Nationwide Life Ins. (whole life)		None	K	T					
36. Section 529 Account									
37. --Ivy Capital Apprec. E (420)	D	Dividend	L	T	Sold (part)	09/01/16	J	A	
38. IRA # 5--									
39. --Aviva Life and Annuity Co (annuity) (fixed)		None	N	T					
40. Trust # 5 (beneficiaries)									
41. --SEI Prime Obligation Fund	A	Dividend	J	T					
42. --SEI Large Cap Growth Fd (omitted by mistake)	A	Dividend	K	T					
43. --SEI Large Cap Value Fd (omitted by mistake)	A	Dividend	J	T					
44. --SEI Small Cap Growth Fd (omitted by mistake)	A	Dividend	J	T					
45. --SEI Small Cap Value Fd (omitted by mistake)	A	Dividend	J	T					
46. --SEI Core Fixed Inc Fd (omitted by mistake)	A	Dividend	K	T					
47. --SEI Intl Fixed Inc Fd (omitted by mistake)	A	Dividend	J	T					
48. SEI Intl Equity Fd (omitted by mistake)	A	Dividend	J	T					
49. Phoenix Companies Inc (commone stock) (omitted by mistake)		None			Sold	06/21/16	J		
50. BROKERAGE ACCT # 6									
51. --Invesco Growth & Inc A (formerly Van Kampen Grw & Inc A)	C	Dividend	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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52. --Ivy Large Cap Grw I Fd	B	Distribution	K	T					
53. --Amer Balanced Fd2	C	Dividend	L	T					
54. --Morgan Stanley Bk Dep	A	Interest	K	T					
55. Callon Petroleum Co (common)		None	J	T					
56. BROKERAGE ACCT # 9									
57. --Morgan Stanley Bank	A	Interest	J	T					
58. --MFS Total Return I	B	Dividend	J	T					
59. --Blackrock Equity Dividend I	B	Dividend	J	T					
60. --Fidelity Adv New Insights I	A	Int./Div.	J	T					
61. IRA # 7	C	Dividend	K	T					
62. --Morgan Stanley Bank	A	Interest	K	T					
63. --Invesco Premier PTF Instl (MM)	A	Dividend	J	T					
64. --Am Growth Fd of Amer F2	C	Dividend	L	T					
65. --Gabelli EQ Inc I	C	Dividend	L	T					
66. --First Eagle Global I	A	Dividend	L	T					
67. --Nuveen Santa Barbara Div Growth I	C	Dividend	L	T					
68. Essential Asset REIT	C	Dividend	L	W					

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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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69. Office and Industrial REIT	C	Dividend	L	W					

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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/ Neil V. Wake

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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Washington, D.C. 20544