

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) Bernthal, David G.	2. Court or Organization U.S. District Court, CD/IL	3. Date of Report 5/8/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 114 U.S. Courthouse 201 S. Vine Street Urbana, IL 61802		
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. Trustee (Successor)	Trust #1 (See Notes Part VIII)
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. 1/87	Deferred Compensation Plan, State of Illinois (former employee) (See Notes Part VIII)
2. 1/09	State Universities Retirement System of Illinois (SURS)
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.		
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. 2013	Self-Employed (Real Estate Broker)
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)	2/8/13 - 2/9/13	Chicago, IL	Moot Court Competition	Lodging/Parking/Mileage
2. Re/Max Realty Associates	2/25/13-3/1/13	Las Vegas, NV	Accompany Spouse to Convention	Air Fare/Lodging
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.)*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. 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	N	T					See Note Pt. VIII
9. Concesco, Inc. Note Due 10/15/2006 (IRA)	A	Interest	J	T					See Note Pt. VIII
10. DFA Intl Small Co Port Fund (IRA) DFISX	A	Dividend			Sold	04/10/13	J		
11. DFA Intl Lg Value Portfolio (IRA) DFIVX	B	Dividend			Sold	04/10/13	K		
12. DFA Real Estate Securities Portfolio (IRA) DFREX	A	Dividend			Sold	04/10/13	K		
13. DFA US Small XM Value Portfolio (IRA) DFFVX	A	Dividend			Sold	04/10/13	L	C	
14. DFA Five Year Govt Portfolio (IRA) DFFGX	A	Dividend			Sold	04/10/13	K	C	
15. DFA Emerging MKTS Val Portfolio (IRA) DFEX	A	Dividend			Sold	04/10/13	K	C	
16. DFA US Large Value Portfolio (IRA) DFLVX	B	Dividend			Sold	04/10/13	L	B	
17. DFA Two-Year Global Fixed Income Portfolio (IRA) DFGFX	A	Dividend			Sold	04/10/13	L	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 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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. DFA Emerging MKTS Smlcap Portfolio (IRA) DEMSX	A	Dividend			Sold	04/10/13	K	C	
19. DFA Emerging MKTS Portfolio (IRA) DFEMX	A	Dividend			Sold	04/10/13	K	A	
20. DFA One Year Fixed Income Portfolio (IRA) DFIHX	A	Dividend			Sold	04/10/13	L	A	
21. DFA Intl Smallcap Value Portfolio (IRA) DISVX	A	Dividend			Sold	04/10/13	K		
22. DFA US Large Co Portfolio (IRA) DFUSX	B	Dividend			Sold	04/10/13	M	C	
23. DFA US Micro Cap Portfolio (IRA) DFSCX	A	Dividend			Sold	04/10/13	K	A	
24. T. Rowe Price Retirement 2010 Fund	A	Dividend	L	T					
25. DFA Emerging Markets Fund (IRA) DFEMX	A	Dividend			Sold	10/11/13	J	A	
26. DFA Emerging Markets S Fund (IRA) DEMSX	A	Dividend			Sold	10/11/13	J		
27. DFA Emerging Markets V Fund (IRA) DFEVX	A	Dividend			Sold	10/11/13	J		
28. DFA Int'l Small Cap Value Fund (IRA) DISVX	A	Dividend			Sold	10/11/13	J	A	
29. DFA Int'l Small Company Fund (IRA) DFISX	A	Dividend			Sold	10/11/13	J	A	
30. DFA Int'l Value Fund (IRA) DFIVX	A	Dividend			Sold	10/11/13	J	A	
31. DFA Real Estate Securities Fund (IRA) DFREX	A	Dividend			Sold	10/11/13	J	A	
32. DFA US Large Cap Value Fund (IRA) DFLVX	A	Dividend			Sold	10/11/13	J	A	
33. DFA US Micro Cap Fund (IRA) DFSCX	A	Dividend			Sold	10/11/13	J	A	
34. DFA US Small Cap Value Fund (IRA) DFSVX	A	Dividend			Sold	10/11/13	J	A	

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35. Fidelity Cash Reserves	A	Interest			Closed	04/10/13	J	A	See Note Pt. VIII
36. Fidelity Cash Reserves	A	Interest			Closed	09/30/13	K	A	See Note Pt. VIII
37. DFA US Core Equity II DFQTX (IRA)	B	Dividend			Sold	04/10/13	L	E	
38. Vanguard Inflation Protected Secs VIPSX (IRA)	B	Dividend			Sold	04/22/13	K	C	
39. DFA Int'l Core Equity DFIEX (IRA)	B	Dividend			Sold	04/16/13	L	C	
40. State Universities Retirement System	A	Interest	J	T					
41. Busey Bank Account	A	Interest	J	T					
42. DFA Emerging Mkts Core DFCEX	A	Dividend			Sold	04/10/13	J	A	
43. DFA Int'l Core DFIEX	A	Dividend			Sold	10/11/13	J	A	
44. DFA US Core EQII DFQTX	A	Dividend			Sold	10/11/13	J	B	
45. DFA Five Year Global Fixed, Inc. DFGBX (IRA)	A	Dividend			Sold	04/10/13	J	A	
46. Trust #1	D	Int./Div.			Sold	12/20/13	N	E	See Note Pt. VIII
47. ---Busey Bank									
48. ---Morgan Stanley Bank NA									
49. ---National Republic Bank of Chicago CD									
50. ---Flagstar Bank, FSB, Troy, MI CD									
51. ---Cardinal Bank, McClean, VA CD									

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52. ---Wells Fargo Bank, NA, Sioux Falls, SD CD									
53. ---American CAP, Inc. Builder A (CAIBX) Mutual Fund									
54. ---American CAP WRLD GR & INC A (CWGIX) Mutual Fund									
55. ---American, Inc. FD of America (AMECX) Mutual Fund									
56. ---EV Global Macro Absolute Ret C (ELGMX) Mutual Fund									
57. ---Pimco Income C (PONCX) Mutual Fund									
58. ---Templeton Global Bond FD C (TEGBX) Mutual Fund									
59. MFS Value Fund Class 1 MEIIX (IRA)	B	Dividend	L	T	Buy	04/18/13	L		
60. Leader Short Term Fund Bond Institutional Fund LCCIX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
61. Parnassus Mid-Cap Fund PARMX (IRA)	A	Dividend	L	T	Buy	04/16/13	K		
62. Principal Global Real Estate Securities Fund POSPX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
63. Putnam Absolute Return 700 Fund Class Y PDMYX (IRA)	B	Dividend			Buy	04/16/13	K		
64. Putnam Absolute Return 700 Fund Class Y PDMYX (IRA)	B	Dividend			Sold	09/13/13	K		
65. Virtus Multi-Sector Short Term Bond Fund Class 1 PIMSX (IRA)	B	Dividend	K	T	Buy	04/16/13	K		
66. Templeton Global Bond Fund Advisor Class TGBAX (IRA)	A	Dividend	J	T	Buy	04/18/13	J		
67. New World Fund Class F-2 NFFFX (IRA)	A	Dividend	K	T	Buy	04/17/13	K		
68. Prudential Absolute Return Bond Fund Class Z PADZX (IRA)	A	Dividend	K	T	Buy	04/17/13	K		

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69. TCW Select Equities FD Class 1 TGCEX (IRA)	B	Dividend	L	T	Buy	04/16/13	L		
70. Transamerica Emerging Markets Debt Fund Class 1 EMTIX (IRA)	A	Dividend			Buy	04/16/13	J		
71. Transamerica Emerging Markets Debt Fund Class 1 EMTIX (IRA)	A	Dividend			Sold	09/17/13	J		
72. Putnam Convertible Securities Fund Class Y PCGYX (IRA)	A	Dividend	K	T	Buy	09/17/13	K		
73. Oppenheimer Senior Floating Rate Fund Class Y 00SYX (IRA)	B	Dividend	K	T	Buy	04/16/13	K		
74. Mainstay Marketfield Fund Class 1 MFLDX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
75. The Oakmark International Fund Class 1 OAKIX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
76. Franklin International Small Cap Growth Fund Advisor Class FKSCX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
77. Eaton Vance Floating Rate Advantage FD Class 1 EIFAX (IRA)	B	Dividend	K	T	Buy	04/16/13	K		
78. TCW Dividend Focused Fund Class N TGIGX (IRA)	B	Dividend	L	T	Buy	04/16/13	L		
79. Ridgeworth High Income Fund Class 1 STHZX (IRA)	B	Dividend	K	T	Buy	04/17/13	K		
80. Oppenheimer International Growth Fund Class Y 0IGYX (IRA)	A	Dividend	K	T	Buy	04/17/13	K		
81. Virtus Multi-Sector Short Term Bond Fund Class 1 PIMSX (IRA)	A	Dividend	K	T	Buy	04/23/13	K		
82. T. Rowe Price New Horizons PRNHX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
83. Principal Midcap Fund Class P PMCPX (IRA)	A	Dividend	L	T	Buy	04/16/13	K		
84. Pimco Income Fund Class D PONDY (IRA)	B	Dividend	K	T	Buy	04/16/13	K		
85. Alliance Bernstein High Income Fund Advisor Class AGDYX (IRA)	C	Dividend	K	T	Buy	04/16/13	K		

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86. Alliance Bernstein High Income Fund Advisor Class AGDYX (IRA)	C	Dividend	K	T	Buy	04/23/13	K		
87. Fidelity Advisor New Insights Fund Class 1 FINSX (IRA)	B	Dividend	L	T	Buy	04/18/13	L		
88. Hancock Horizon Family Burkenroad Fund Class D HYBUX (IRA)	A	Dividend	K	T	Buy	04/16/13	K		
89. Transamerica Short-Term Bank Fund TSTIX (IRA)	A	Dividend	J	T	Buy	09/13/13	J		
90. T. Rowe Price Stable Return Fund (IRA)	A	Dividend	J	T	Buy	03/28/13	J		
91. Lord Abbott Large Cap Core Stra.Sep. (IRA)	A	Dividend	J	T	Buy	03/28/13	J		
92. Pershing Government Account (IRA)	A	Interest	J	T	Open	04/16/13	J		
93. Calamos Evolving World Growth Fund CNWIX	A	Dividend	J	T	Buy	10/11/13	J		
94. Hancock Horizon Family Burkenroad Fund HYBUX	A	Dividend	J	T	Buy	10/11/13	J		
95. MFS International Value Fund MINIX	A	Dividend	J	T	Buy	10/11/13	J		
96. T. Rowe Price Extended Equity Market Index PEXMX	A	Dividend	J	T	Buy	10/11/13	J		
97. Sun America Focused Dividend Strategy Fund FDSWX	A	Dividend	J	T	Buy	10/11/13	J		
98. Eaton Vance Floating Rate Fund EABLX	A	Dividend	J	T	Buy	10/11/13	J		
99. Leader Short Term Bond Fund LCCIX	A	Dividend	J	T	Buy	10/11/13	J		
100. Goldman Sachs Strategic Income Fund GSZIX	A	Dividend	J	T	Buy	10/11/13	J		
101. Ivy High Income Fund IVHIX	A	Dividend	J	T	Buy	10/11/13	J		
102. Sun America Focused Dividend Strategy Fund FDSWX	A	Dividend	J	T	Buy	10/03/13	J		

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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)
103. Invesco Equally Weighted S&P 500 Fund VADDX [REDACTED]	A	Dividend	J	T	Buy	10/07/13	J		
104. Pershing Government Account [REDACTED]	A	Interest	J	T	Open	10/11/13	J		
105. Pershing Government Account [REDACTED]	A	Interest	J	T	Open	11/01/13	J		
106.									
107.									
108.									
109.									
110.									
111.									
112.									
113.									
114.									

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

I. POSITIONS and VII. INVESTMENTS and TRUSTS ---

Line 46 in Section (VII) - Trust #1 was closed per its terms. Proceeds transferred in accordance with trust directive. Proceeds held in Busey Bank Account (Section VII, Line 8) for remainder of reporting period.

II. AGREEMENTS -

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

VII. INVESTMENTS and TRUSTS ---

Line 9 Conseco Note reported in default.

NOTE - Reporting person and [REDACTED] changed investment advisors during the reporting period. This explains the higher than usual sales and purchases. (Transfer of investments not permitted.)

The Fidelity Cash Reserves listed on Lines 35 and 36 of Part VII were money market accounts to hold cash in the respective investment accounts. They were closed as part of the change in advisors. The cash holding money market accounts managed by the new advisor are listed as Pershing Government Account (See Lines 92, 104, and 105).

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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/ **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
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