

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) Wake, Neil V.	2. Court or Organization U.S. District Court, Arizona	3. Date of Report 8/26/2014
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 01/01/2013 to 12/31/2013
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE 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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. University of Arizona College of Law September 16, 2013 Tucson, AZ Speak at law school Hotel room (1 night)

2. State Bar Association of Arizona July 17-19, 2013 Coronado, CA Speak at continuing legal education program Travel and hotel room (2 nights)

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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.	Morgan Stanley	Portfolio Loan Account	None
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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	M	U					
3. Whetstone Dev. Co. (common stock) (X)		None	J	U					
4. Interstate Ventures V Ltd. Ptshp		None	J	U					
5. IRA # 1									
6. --MS Charter Campbell LP		None			Sold	08/13/13	J	A	
7. --MS CharterMSFCM LP		None			Sold	08/13/13	J	A	
8. --MS Charter Grahah LP		None			Sold	08/13/13	J	A	
9. --BlackrockGlobal Allocation C (transfer from IRA # 6)	A	Dividend	L	T					
10. --Morgan Stanely Liquid Assets Fund (transfer from IRA # 6)	A	Dividend	J	T					
11. UTMA Acct # 3									
12. --Morgan Stanley Bk Deposit	A	Interest	J	T					
13. BROKERAGE ACCT # 3									
14. --SEI Tax-Free Fund (MM)	A	Dividend			Sold	12/20/13	J	A	
15. --SEI Intermediate-Term Municipal Fund (Mut Fd)	A	Dividend			Sold	12/20/13	J	A	
16. --SEI Short Duration Munical Fd	A	Dividend			Sold	12/20/13	K		
17. --STET Tax-Advantaged Income Fd # 19	A	Dividend			Sold	12/20/13	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 H ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 I ~\$15,001 - \$50,000	E ~\$15,001 - \$50,000 F ~\$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$50,001 - \$1,000,000	L ~\$50,001 - \$100,000 P ~\$1,000,001 - \$5,000,000 P ~\$5,000,001 - \$25,000,000	M ~\$100,001 - \$250,000 P ~\$250,001 - \$500,000	P ~\$500,001 - \$1,000,000 P ~\$1,000,001 - \$5,000,000 P ~\$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 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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. --SEI Tax Managed Volatility Fd	A	Dividend			Sold	12/20/13	J	A	
19. --SEI Real Estate Fd	A	Dividend			Sold	12/20/13	J	A	
20. ING USA Annuity & Life Ins Co (annuity)		None	N	T					
21. Amer. Inv. Life Ins. (AVIVA) Co. (annuity)		None	N	T					
22. BROKERAGE ACCT # 4									
23. --SEI Intermed. Term Municipal Fd	A	Dividend	J	T					
24. --Cisco Systems Inc (common)	A	Dividend	J	T					
25. --SEI Short Duration Municipal Fd	A	Dividend	J	T					
26. --STET Tax-Advantaged Income Fd # 19	A	Dividend	J	T					
27. --SEI Tax Managed Volume Fd	A	Dividend	J	T					
28. --SEI RealEstate Fd	A	Dividend	J	T					
29. --SEI Tax-Free Fd	A	Dividend	J	T					
30. American Realty Capital (common stock)-- sold 12-16-12 and overlooked					Sold	01/02/13	M	E	
31. Amer Realty Capital Trust IV REIT	C	Dividend	L	W	Buy	02/05/13	L		
32. New York Recovery REIT	B	Dividend	L	W	Buy	07/01/13	L		
33. Business Dev Corp of America	B	Dividend	M	W	Buy	07/16/13	L		
34. Healthcare Trust of America (common stock)	C	Dividend	M	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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. --same					Sold	06/13/13	L	D	
36. ARC Trust III Inc. (stock)	B	Dividend	K	T	Sold	06/12/13	L	E	
37. Griffin-Americna Healthcare REIT II	D	Distribution	M	W					
38. Jackson Nat. Life Ins. Co. (annuity)		None	P1	T					
39. Pinal County, AZ, land		None	L	W					
40. Mohave County, AZ, land		None	J	W					
41. Nationwide Life Ins.--adjustible life ins		None	K	T					
42. Section 529 Account									
43. --Ivy Capital Apprec. E (420)	C	Distribution	L	T					
44. IRA # 5--									
45. --Aviva Life and Annuity Co (annuity)		None	N	T					
46. Trust # 5 (beneficiaries)									
47. --SEI Prime Obligation Fund	A	Dividend	L	T					
48. BROKERAGE ACCT # 6									
49. --Invesco Growth & Inc A (formerly Van Kampen Grw & Inc A)	B	Dividend	K	T					
50. --Ivy Large Cap Grw A Fd	D	Distribution	K	T					
51. --Amer Balanced Fd	B	Dividend	L	T	Sold (part)	01/29/13	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 = \$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 \$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 7 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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)
52. --Morgan Stanley Bk Dep			J	T	Buy	01/29/13	J		
53. Callon Petroleum Co (common)		None	J	T					
54. BROKERAGE ACCT # 9									
55. --Morgan Stanley Bank	A	Int./Div.	K	T					
56. --MFS Total Return A	A	Dividend	K	T					
57. --Blackrock Equity Dividend A	A	Dividend	K	T					
58. --Eaton Vance Tax-Advantaged Bond Strategy	A	Distribution	L	T					
59. --Fidelity Adv New Insights A	D	Distribution	K	T					
60. IRA # 7	C	Dividend	M	T					
61. --Morgan Stanley Bank	A	Int./Div.	K	T					
62. --Invesco Premier PTF Instl (MM)	A	Dividend	J	T					
63. --Am Growth Fd of Amer F	A	Dividend	L	T	Buy (add'l)	08/16/13	J		
64. --Gabelli EQ Inc AAA	B	Dividend	L	T	Buy (add'l)	08/16/13	J		
65. --MS Charter Aspect LP					Sold	08/13/13	J	A	
66. --MS Charter Graham A LP					Sold	08/13/13	J	A	
67. --MS Charter WCM LP					Sold	08/13/13	J	A	
68. --First Eagle Global A	B	Dividend	L	T	Buy (add'l)	08/16/13	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 \$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 8 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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)
69. --Nuveen Santa Barbara Div Growth A	B	Dividend	L	T	Buy (add'l)	08/13/13	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 9 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Wake, Neil V.

Date of Report

8/26/2014

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544