

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2007

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 09/12/2008
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 01/01/2007 to 12/31/2007
7. Chambers or Office Address 401 W. Washington St., SPC 52 Phoenix, AZ 85003.	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign 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. Trustee (resigned)	Trust # 1
2. Trustee (resigned)	Trust # 2
3. Trustee (resigned)	Trust # 3
4. Trustee	Law Offices of Neil Vincent Wake Money Purchase Plan (I am sole beneficiary)
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.)*

<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. 2007	Self-employed attorney and mediator
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. George Mason Univ. Law and Economics Center				Oct __. Seminar on Herodotus in La Jolla, CA (transportation, meals, and lodging)
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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	(1)	(2)	(1)	(5)
--	-----	-----	-----	-----

8.	Trust # 2 (trustee) (resigned as trustee)	B	None		W				
9.	--Bank of NY Co. Inc. common stock (BK)	A	Dividend			Sell	1-17	J	B
10.	--Pfizer Inc. Del PV (PFE)	A	Dividend			Sell part	1-17	J	A
11.	--Pfizer Inc. Del PV (PFE)					Sell		J	A
12.	--Lucent Technologies Inc (LU) (X)					Sell	4-3	J	A
13.	--Interstate Vent. V LP	B	Distribution	J	U				
14.	Trust # 3 (trustee) (resigned as trustee)								
15.	--Gary & Eliz Loveness note		None	L	T				
16.	--Manulife Ins. Whole Life Ins		None	L	T				
	BROKERAGE ACCT # 1								

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. --Morgan Stanley Active Assets Mon Tr (Liquid Asset Fund)	A	Dividend	K	T					
19. --DC Gen Obl Bond	A	Interest	K	T					
20. IRA #1			K	T					
21. --MS Charter Campbell LP		None	J	T					
22. --MS CharterMSFCM LP		None	J	T					
23. --MS Charter Graham LP		None	J	T					
24. IRA #3	C	Dividend	K						
25. --Morgan Stanley Liquid Asset Fund (MM)	A	Dividend	J	T					
26. --MS Global Dividend Grwth Sec B (Mut Fd)	A	Dividend			Sell	8-21	J	B	
27. --MS Pacific Growth Fund B (Mut Fd)	A	Dividend			Sell	8-21	J	B	
28. --Templeton Global SM Co Gr Fd A (Mut Fd)	B	Dividend			Sell	8-21	J	B	
29. --Morgan Stanley Bank	B	Interest	M	T	Sell	8-28	M		
30. --MS Charter Aspect LP		None	J	T	Buy	9-1	J		
31. --MS Charter Graham		None	J	T	Buy	9-1	J		
32. --MS Charter WCM LP		None	J	T	Buy	9-1	J		
33. UTMA Acct # 2	A	Dividend	J	T	Acct closed	8-1	J		
34. --Liquid Asset Fund (MM)	A	Dividend	J	T	Sell	8-1	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A=\$1,000 or less

F=\$50,001 - \$100,000

J=\$15,000 or less

N=\$250,001 - \$500,000

P3=\$25,000,001 - \$50,000,000

Q=Appraisal

U=Book Value

B=\$1,001 - \$2,500

G=\$100,001 - \$1,000,000

K=\$15,001 - \$50,000

O=\$500,001 - \$1,000,000

R=Cost (Real Estate Only)

V=Other

C=\$2,501 - \$5,000

H1=\$1,000,001 - \$5,000,000

L=\$50,001 - \$100,000

P1=\$1,000,001 - \$5,000,000

P4=More than \$50,000,000

S=Assessment

W=Estimated

D=\$5,001 - \$15,000

H2=More than \$5,000,000

M=\$100,001 - \$250,000

P2=\$5,000,001 - \$25,000,000

T=Cash Market

E=\$15,001 - \$50,000

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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.)

	(1)								

	A								
41. --MSIF Emerging Markets P Prospectus			J	T	Buy	8-29	J		
42. --MSIF Active Intl Allocatn A Prospectus	A	Dividend	J	T	Buy	8-29	J		
--MSIF US Large Cap GR P0rt A Prospectus	A	Dividend	J	T	Buy	8-29	J		
44. --MSIF TR US Small Val Inst Prosp.	A		J	T	Buy	8-29	J		
45. --MSIF TR Mid Cap Growth Inst Prosp.		Dividend	J	T	Buy	8-29	J		
46. --Van Kampen Growth & Inc I Prosp.	A	Dividend	J	T	Buy	8-29	J		
47. --Van Kampen Small Cap Growth I Prosp.	A	Dividend	J	T	Buy	8-29	J		
48. --MS Small-Mid Spec Value Fund D Prosp.	A	Dividend	J	T	Buy	8-29			
BROKERAGE ACCT # 3									
50. --SEI Tax-Free Fund (MM)	D	Dividend	N	T	Sell part	1-10	J	A	
51. --SEI Tax-Free Fund (MM)					Sell part	2-8	J	A	

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(See Columns B1 and D4)

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P3=\$25,000,001 - \$50,000,000

B=\$1,001 - \$2,500
G=\$100,001 - \$1,000,000
K=\$15,001 - \$50,000
O=\$500,001 - \$1,000,000

R=Cost (Real Estate Only)
V=Other

C=\$2,501 - \$5,000
H1=\$1,000,001 - \$5,000,000
L=\$50,001 - \$100,000
P1=\$1,000,001 - \$5,000,000
P4=More than \$50,000,000
S=Assessment
W=Estimated

D=\$5,001 - \$15,000
H2=More than \$5,000,000
M=\$100,001 - \$250,000
P2=\$5,000,001 - \$25,000,000

T=Cash Market

E=\$15,001 - \$50,000

3. Value Method Codes
(See Column C2)

Q=Appraisal
U=Book Value

	(2)	
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							L	
59. --Altera Corp common stock	A	Dividend			Sell	12-6	J	
60. --Automatic Data Processing Inc common stock	A	Dividend			Sell	12-6	J	D
61. --XILINC Inc common stock	A	Dividend			Sell	12-6	J	
62. --Rf Micro Devices Inc		None			Sell	12-6	J	
--SEI Small Cap Value Fund (Mut Fd)	C	Dividend	K	T				
64. --SEI Small Cap Growth Fund (Mut Fd)	B	Dividend	K	T				
65. --General Electric Co common stock	A	Dividend			Sell	12-6	J	D
66. --Verizon Communications common stock	A	Dividend			Sell	12-6	J	
67. --Sun Microsystems Inc common stock	A	Dividend			Sell	12-6	J	
68. --Microsoft Corp common stock	A	Dividend			Sell	12-6	J	

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q=Appraisal U=Book Value				

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69. --SEI Intermediate-Term Municipal Fund (Mut Fd)	D	Dividend	M	T					
70. --SEI International Fixed Income Fund (Mut Fd)	A	Dividend	K	T					
71. --SEI High Yield Bond Fund (Mut Fd)	B	Dividend	K	T					
72. --SEI Emerging Markets Debt Fund (Mut Fd)	B	Dividend	K	T					
73. --SEI International Equity Fund (Mut Fd)	D	Dividend	L	T					
74. --SEI Emerging Markets Equity Fund	D	Dividend	K	T	Sold part	4-10	K	B	
75. Broadridge Finl Sol Inc (common) stock div unknown before	A	Dividend			Sell	12-6	J	B	
76. Brokerage Acct # 4									
77. --SEI Tax-Mgd Large Cap Fund (Mt Fd)	B	Dividend	L	T	Sell part	7-9	J	A	
78. --SEI Small Cap Value Fund (Mut Fd)	A	Dividend	J	T					
79. --SEI Small Cap Growth Fund (Mut Fd)	A	Dividend	J	T					
80. --SEI Intermediate-Term Municipal Fund (Mut Fd)	A	Dividend	K	T					
81. --SEI International Fixed Income Fund (Mut Fd)	A	Dividend	J	T					
82. --SEI Emerging Markets Debt Fund (Mut Fd)	A	Dividend	J	T					
83. --SEI High Yield Bond Fund (Mut Fd)	A	Dividend	J	T					
84. --SEI International Equity Fund (Mut Fd)	B	Dividend	K	T	Sell part	7-9	J	A	
85. --SEI Emerging Markets Equity Fund (Mut Fd)	B	Dividend	J	T	Sell part	7-10	J	C	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

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86. --SEI Emerging Markets Equity Fund (Mut Fd)					Sell part	10-9	K	E	
87. --Cisco Systems Inc (common) (transfer from other acct)		None	J	T					
88. Brokerage Acct # 5 (Money Purchase Plan)									
89. --SEI Large Cap Growth Fund (Mut Fd)	D	Dividend	N	T	Buy	10-9	K		
90. --SEI Large Cap Value Fund (Mut Fd)	D	Dividend	N	T					
91. --SEI Small Cap Value Fund (Mut Fd)	B	Dividend	K	T					
92. --SEI Small Cap Growth Fund (Mut Fd)	B	Dividend	K	T					
93. --Medtronic Inc common stock	A	Dividend	K	T					
94. --Microsoft Corp common stock		None	J	T					
95. --Verizon Communications common stock	A	Dividend	J	T					
96. --SEI International Equity Fund (Mut Fd)	D	Dividend	M	T	Sell part	10-9	J	A	
97. --SEI Emerging Markets Equity Fund (Mut Fd)	E	Dividend	M	T					
98. --SEI Core Fixed Incom Fund (Mut Fd)	D	Dividend	M	T					
99. --SEI International Fixed Income Fund (Mut Fd)	B	Dividend	K	T					
100. --SEI High Yield Bond Fund (Mut Fd)	B	Dividend	K	T					
101. --SEI Emerging Markets Debt Fund (Mut Fd)	B	Dividend	K	T					
102. --SEI Prime Obligation Fund (Money Market)	A	Dividend	K	T	Sell part	1-10	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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				
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103. --SEI Prime Obligation Fund (Money Market)					Sell part	4-11	J	A	
104. --SEI Prime Obligation Fund (Money Market)					Sell part	7-11	J	A	
105. --SEI Prime Obligation Fund (Money Market)					Sell part	10-10	J	A	
106. --SEI Prime Obligation Fund (Money Market)					Sell part	11-9	J	A	
107. Trust # 4 (beneficiaries) (trust terminated in 11-15)									
108. --SEI Tax-Mgd Large Cap Fund (Mut Fd)					Sell	1-23	J	A	
109. --General Electric Co common stock	A	Dividend			Sell	11-15	K	E	
110. --Medtronic Inc common stock	A	Dividend			Sell	11-15	J	A	
111. --SEI Small Cap Growth Fund (Mut Fd)					Sell	11-15	J	A	
112. --SEI Small Cap Value Fund (Mut Fd)					Sell	11-15	J	A	
113. --Microsoft Corp common stock					Sell	11-15	J		
114. --SEI Intermediate-Term Municipal Fund (Mut Fd)				Q	Sell	1-23	J	A	
115. --SEI International Fixed Income Fund (Mut Fd)			J	T	Sell	11-15	J	A	
116. --SEI High Yield Bond Fund (Mut Fd)	A	Dividend	J	T	Sell	11-15	J	A	
117. --SEI Emerging Markets Debt Fund (Mut Fd)	A	Dividend			Sell	11-15	J	A	
118. --SEI International Equity Fund (Mut Fd)	A	Dividend			Sell	11-15	J	A	
119. --SEI Emerging Markets Equity Fund (Mut Fd)					Sell	11-15	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

A.		
		(5)

2. Value Codes
(See Columns C1 and D3)

A.		D. Transactions during reporting period				
		(1)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

160. --American Gr Fd of America F Prospectus	A	Dividend	J	T	Sell part	8-21	J	A	
161. --Mainstay Sm Cap Opport A Prospectus	A	Dividend			Sell	8-21	J	A	
162. --Jellison Small Co A	A	Dividend	J	T	Buy	8-21	J		
163. --Am Europacific Grw Fd	A	Dividend	J	T	Buy	8-21	J		
164. --Blackrock US Opport. SVC	A	Dividend	J	T	Buy	8-21	J		
165. BROKERAGE ACCT #6									
166. --Morgan Stanley Mid-Cap Value Fund D	B	Dividend	J	T	Sell part	8-24	J	A	
167. --MSIF Active Intl Allocatn A	A	Dividend	K	T	Buy	8-24	K		
168. --Van Kampen Grw & Inc A	C	Dividend	K	T	Sell part	8-24	K	C	
169. --MSIF TR Small Co Growth A	A	Dividend	J	T	Sell part	8-23	J	A	
170. --MSIF Emerging Markets A	A	Dividend	J	T	Buy	8-23	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

171. --MSIF TR Mid Cap Growth Inst	B	Dividend	J	T	Sell part	8-24	J	A	
172. --MSIF TR Real Estate Port A	A	Dividend	J	T	Sell	8-24	J	C	
173. --MSIF TR Large Cap Growth Port A (formerly Equity Growth)	A	Dividend	J	T	Sell part	8-24	J	A	
174. --MSIF TR US Small Cap Val Int	A	Dividend	J	T	Sell part	8-24	J	A	
175. BROKERAGE ACCT # 7 (account closed in 2007)									
176. --Cisco Systems Inc (common) (transferred to bkrgr acct # 4)		None	J	T					
177. Callon Petroleum Co (common) (X)		None	J	T					
178. BROKERAGE ACCT # 8									
179. --Morgan Stanley Bank (transfer from other acct)	A	Interest	K	T					
180. --AZ Hlth Facs Auth Rv Bannerr Hlth-E W/7	A	Interest	L	T	Buy	8-23	L		
181. --AZ Hlth Facs Auth Rv Bannerr Hlth-F W/7	A	Interest	M	T	Buy	9-12	L		
182. --AZ Hlth Facs Auth Rv Bannerr Hlth-F W/7					Sell part	9-21	K		
183. BROKERAGE ACCT # 9									
184. --MSIF Active Intl Allocat A	B	Dividend	K	T	Buy	8-29	J		
185. --MSIF Active Intl Allocat A		None			Buy	9-24	J		
186. --MSIF Intl Magnum A	A	Dividend	K	T	Buy	8-29	J		
187. --MSIF Intl Magnum A		None			Buy	9-24	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

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

P3 = \$25,000,001 - \$50,000,000

P4 = More than \$50,000,000

3. Value Method Codes

(See Column C2)

Q = Appraisal

U = Book Value

R = Cost (Real Estate Only)

V = Other

S = Assessment

W = Estimated

T = Cash Market

A.									
		(1)			(1) Type (e.g., buy, sell, redemption)	(2) Date Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

					Buy	8-29	J		
						9-24	J		
						8-29	J		
						9-24	J		
						8-29	J		
193. --MSIF TR Mid Cap Growth INST	A	Dividend	J	T	Buy	9-24	J		
194. --MSIF US Large Cap Growth Port A	A	Dividend	J	T	Buy	8-29	J		
195. --MSIF US Large Cap Growth Port A	A	Dividend	J	T	Buy	9-24	J		
196. --MSIF TR US Small Cap Val. Inst.	A	Dividend	J	T	Buy	8-29	J		
197. --MSIF TR US Small Cap Val. Inst.	A	Dividend	J	T	Buy	9-24	J		
198. --MS Small-Mid Spec. Value Fund D	A	Dividend	J	T	Buy	8-29	J		
199. --MS Small-Mid Spec. Value Fund D	A	Dividend	J	T	Buy	9-24	J		
200. IRA # 7									
201. --MS Liquid Asset Fd	A	Dividend	J	T	Buy	8-28	J		
202. --Jennison Small Co A	A	Dividend	J	T	Buy	8-28	J		
203. --Mainstay Hi Yld Corp Bond A	A	Dividend	J	T	Buy	8-28	J		
204. --Western Asseet Core Inc. Bd FI	A	Dividend	K	T	Buy	8-28	K		

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

3. Value Method Codes
(See Column C2)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000
R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000
T = Cash Market

E = \$15,001 - \$50,000

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. --RS Partners A	A	Dividend	J	T	Buy	8-28	J		
206. --MFS Research Intl A	B	Dividend	J	T	Buy	8-28	J		
207. --Lazard Emerging Markets I	B	Dividend	J	T	Buy	8-28	J		
208. --MSIF TR US Small Cap Val. Inst		None	J	T	Buy	12-26	J		
209. --Am Growth Fd of Amer F	C	Dividend	K	T	Buy	8-23-	K		
210. --JP Morgan Mid Cap Value A	A	Dividend	J	T	Buy	8-28	J		
211. --Alliance Bernstein Intl Value A	B	Dividend	K	T	Buy	8-28	K		
212. --TCW Divident Focused N	B	Dividend	K	T	Buy	8-28	K		
213. --Blackrock US Opportunities SVC		None	J	T	Buy	8-28	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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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 

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544