

AO 10
Rev. 1/2011

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010**

*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 09/10/2011
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
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	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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Wake, Neil V.

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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. 2010	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.				
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	M	U					
3. Whetstone Dev. Co. (common stock) (X)		None	J	U					
4. Interstate Ventures V Ltd. Ptshp	B	Distribution	L	U					
5. BROKERAGE ACCT # 1									
6. --Morgan Stanley Active Assets Mon Tr (Liquid Asset Fund)	A	Dividend	J	T					
7. IRA # 1									
8. --MS Charter Campbell LP		None	J	T					
9. --MS CharterMSFCM LP		None	J	T					
10. --MS Charter Graham LP		None	J	T					
11. IRA # 3	C	Dividend	K	T					
12. --Morgan StanleyLiquid Asset Fund (MM)	A	Dividend	J	T					
13. --MS Charter Aspect LP		None	J	T					
14. --MS Charter Graham		None	J	T					
15. --MS Charter WCM LP		None	J	T					
16. UTMA Acct # 3									
17. --Liquid Asset Fund (MM)	A	Interest	K	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

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)

O = 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. BROKERAGE ACCT # 3									
19. --SEI Tax-Free Fund (MM)		None	K	T	Sold (part)	10/19/10	K		
20. --SEI Intermediate-Term Municipal Fund (Mut Fd)	B	Dividend	K	T	Sold (part)	10/19/10	J		
21. --SEI Short Duration Munical Fd	B	Dividend	K	T	Sold (part)	10/19/10	K		
22. --STET Tax-Advantaged Income Fd # 19	A	Dividend	L	T	Sold (part)	10/19/10	J		
23. --SEI Tax Managed Volatity Fd	A	Dividend	K	T	Sold (part)	10/19/10	K		
24. --SEI Real Estate Fd	A	Dividend	K	T	Sold (part)	10/19/10	J		
25. ING USA Annuity & Life Ins Co (annuity)		None	N	T					
26. Amer. Inv. Life Ins. (AVIVA) Co. (annuity)		None	M	T					
27. BROKERAGE ACCT # 4									
28. --SEI Intermed. Term Municipal Fd	A	Dividend	J	T	Sold (part)	10/19/10	J		
29. --Cisco Systems Inc (common)		None	J	T					
30. --SEI Short Duration Municipal Fd	B	Dividend	L	T	Sold (part)	10/19/10	L		
31. --STET Tax-Advantaged Income Fd # 19	A	Dividend	J	T	Sold (part)	10/19/10	J		
32. --SEI Tax Managed Volatity Fd	A	Dividend	J	T	Sold (part)	10/19/10	J		
33. --SEI Real Estate Fd	A	Dividend	J	T	Sold (part)	10/19/10	J		
34. --SEI Tax-Free Fd		Distribution		T					

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(See Columns B1 and D4)

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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

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
U = Book Value

R = Cost (Real Estate Only)
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	(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. American Realty Capital (common stock)		None	M	T	Buy	10/20/10	L		
36. Healthcare Trust of America (common stock)		None	M	T	Buy	10/20/10	M		
37. BROKERAGE ACCT # 5									
38. --SEI High Yield Bond Fund (Mut Fd)	A	Dividend			Sold	07/22/10	J		
39. --SEI Prime Obligation Fund (Money Market)	A	Dividend			Sold	07/22/10	M		
40. --SEI Prime Obligation Fund (Money Market)		None			Sold	07/22/10	J		
41. --SIMT Enhanced Income (Fd)	A	Dividend			Sold	07/22/10	L		
42. --SEI Managed Volatility Fd	A	Dividend			Sold	07/22/10	K		
43. --SEI Real Estate Fd	A	Dividend			Sold	07/22/10	K		
44. --SIMT Global Managed Volatility Fd	A	Dividend			Sold	07/22/10	K		
45. Jackson Nat. Life Ins. Co. (annuity)		None	P1	T	Buy (add'l)	07/23/10	N		
46. Pinal County, AZ, land		None	L	W					
47. Mohave County, AZ, land		None	J	W					
48. Roth IRA # 4									
49. --Morgan Stanley Liquid Asset Fund (Mut Fd)	A	Dividend	J	T	Sold	05/07/10	J		
50. Manulife Financial Life Ins		None			Sold	08/13/10	K	A	
51. Nationwide Life Ins. Co--adjustable life ins		None	K	T	Buy	08/24/10	K		

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(See Columns B1 and D4)

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2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
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O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

H2 = More than \$5,000,000
M = \$100,001 - \$250,000

3. Value Method Codes
(See Column C2)

P3 = \$25,000,001 - \$50,000,000
Q = Appraisal
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R = Cos (Real Estate Only)
V = Other

P4 = More than \$50,000,000
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Section 529 Account									
53. --Ivy Capital Apprec. E (422)		None	K	T					
54. IRA # 5--									
55. --Allianz Life Ins Co of North Am (annuity)		None			Sold	10/28/10	N		
56. --Aviva Life and Annuity Co (annuity)		None	N	T	Buy	10/29/10	N		
57. Trust # 5 (beneficiaries)									
58. --SEI Prime Obligation Fund	B	Int./Div.	L	T					
59. IRA # 6									
60. --Morgan Stanley Liquid Assets Fund	A	Dividend	J	T					
61. --BlackrockGlobal Allocation C		None			Buy	04/30/10	K		
62. BROKERAGE ACCT # 6									
63. --Van Kampen Grw & Inc A	A	Dividend	K	T					
64. --Ivy Large Cap Grw A Fd	A	Dividend	K	T					
65. --Amer Balanced Fd	B	Dividend	L	T					
66. Callon Petroleum Co (common)		None	J	T					
67. BROKERAGE ACCT # 8									
68. --Morgan Stanley Bank	A	Interest	M	T					

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2. Value Codes
(See Columns C1 and D3)

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

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(See Column C2)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
79. --American GR FD of America F	A	Dividend	K	T					

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(See Columns B1 and D4)

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

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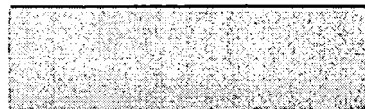
Date of Report

09/10/2011

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 WILFULLY 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