

AO 10
Rev. 1/2010

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2009**

*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 09/10/2010
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 01/01/2009 to 12/31/2009
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: <i>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>		

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.)*

<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. 2009	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 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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	(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	J	T	Sold (part)	03/23/09	K		
20. --SEI Tax-Free Fund (MM)					Buy (add'l)	04/07/09	J		
21. --SEI Tax-Free Fund (MM)					Sold (part)	04/09/09	J		
22. --SEI Tax-Free Fund (MM)					Sold (part)	05/18/09	K		
23. --SEI Tax-Free Fund (MM)					Sold (part)	07/27/09	K		
24. --SEI Tax-Free Fund (MM)					Buy (add'l)	10/06/09	J		
25. --SEI Tax-Free Fund (MM)					Sold (part)	10/08/09	J		
26. --SEI Intermediate-Term Municipal Fund (Mut Fd)	B	Dividend	K	T					
27. --SEI Short Duration Munical Fd	D	Dividend	M	T	Sold (part)	01/06/09	K		
28. --SEI Short Duration Munical Fd					Sold (part)	04/07/09	J		
29. --SEI Short Duration Munical Fd					Buy (add'l)	12/04/09	J		
30. --STET Tax-Advantaged Income Fd # 19	A	Dividend	L	T	Buy (add'l)	01/06/09	J		
31. --STET Tax-Advantaged Income Fd # 19					Sold (part)	10/06/09	J		
32. --SEI Tax Managed Volatity Fd	A	Dividend	K	T	Buy (add'l)	01/06/09	K		
33. --SEI Real Esate Fd	A	Dividend	K	T	Buy (add'l)	01/06/09	J		
34. --ING USA Annuity & Life Ins Co (annuity)		None	M	T					

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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	
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☐ 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. --Amer. Inv. Life Ins. (AVIVA) Co. (annuity)		None	N	T					
36. BROKERAGE ACCT # 4									
37. --SEI Intermed. Term Municipal Fd	A	Dividend	J	T					
38. --Cisco Systems Inc (common) (transfer from other acct)		None	J	T					
39. --SEI Short Duration Municipal Fd	B	Dividend	L	T					
40. --STET Tax-Advantaged Income Fd # 19	A	Dividend	J	T					
41. --SEI Tax Managed Volatility Fd	A	Dividend	J	T					
42. --SEI RealEstate Fd	A	Dividend	J	T					
43. --SEI Tax-Free Fd		Distribution		T					
44. BROKERAGE ACCT # 5									
45. --SEI Core Fixed Income Fd	A	Dividend			Sold (part)	01/06/09	J		
46. --SEI Core Fixed Income Fd	A	Dividend			Sold	10/06/09	K		
47. --SEI High Yield Bond Fund (Mut Fd)	A	Dividend	K	T	Sold (part)	01/06/09	J		
48. --SEI High Yield Bond Fund (Mut Fd)					Sold (part)	07/07/09	J		
49. --SEI High Yield Bond Fund (Mut Fd)					Sold (part)	10/06/09	K		
50. --SEI Prime Obligation Fund (Money Market)	A	Dividend	N	T	Buy (add'l)	01/06/09	M		
51. --SEI Prime Obligation Fund (Money Market)					Sold (part)	01/09/09	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 = \$1,000,001 - \$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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	(1) Amount Code I (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. --SEI Prime Obligation Fund (Money Market)					Sell part	04/09/09	J		
53. --SEI Prime Obligation Fund (Money Market)					Buy (add'l)	07/07/09	J		
54. --SEI Prime Obligation Fund (Money Market)					Sold (part)	10/06/09	J		
55. --SMT Enhanced Income (Fd)	A	Dividend	K	T	Sold (part)	01/06/09	J		
56. --SMT Enhanced Income (Fd)					Sold (part)	10/06/09	K		
57. --SEI Managed Volatility Fd	A	Dividend	J	T	Sold (part)	01/06/09	J		
58. --SEI Managed Volatility Fd					Sold (part)	10/06/09	J		
59. --SEI Real Estate Fd	A	Dividend			Sold (part)	01/06/09	J		
60. --SEI Real Estate Fd					Sold	10/06/09	J		
61. --SMT Global Managed Volatility Fd	A	Dividend	J	T	Sold (part)	01/06/09	J		
62. --Jackson Nat. Life Ins. Co. (annuity)		None	O	T					
63. Pinal County, AZ, land		None	L	W					
64. Mohave County, AZ, land		None	J	W					
65. Roth IRA #4									
66. --Morgan Stanley Liquid Asset Fund (Mut Fd)	A	Dividend	J	T	Sold (part)	08/14/09	J		
67. Manulife Financial Life Ins		None	K	T					
68. Section 529 Account									

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
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69. --Ivy Capital Apprec. E (422)		None	K	T					
70. IRA # 5--									
71. --Allianz Life Ins Co of North Am (annuity)		None	N	T					
72. Trust # 5 (beneficiaries)									
73. --SEI Prime Obligation Fund	B	Int./Div.	L	T	Sold (part)	05/01/09	J		
74. IRA # 6									
75. --Morgan Stanley Liquid Assets Fund	A	Dividend	J	T					
76. --Legg Mason Ptners Inv Vol A		None			Sold	01/05/09	J		
77. --Fidelity Adv Dvrsfd Intl A Prospectus		None			Sold	01/05/09	J		
78. --JP Morgan Mid Cap Value A Prospectus		None			Sold	01/05/09	J		
79. --American Gr Fd of America F Prospectus		None			Sold	01/05/09	J		
80. --Jellison Small Co A		None			Sold	01/05/09	J		
81. --Am Europacific Grw Fd		None			Sold	01/05/09	J		
82. BROKERAGE ACCT # 6									
83. --Van Kampen Grw & Inc A	A	Dividend	K	T					
84. --Ivy Large Cap Grw A Fd	A	Dividend	K	T	Buy	01/05/09	K		
85. --Amer Balanced Fd	B	Dividend	L	T	Buy	01/05/09	K		

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86. Callon Petroleum Co (common)		None	J	T					
87. BROKERAGE ACCT # 8									
88. --Morgan Stanley Bank (transfer from other acct)	A	Interest	M	T					
89. BROKERAGE ACCT # 9									
90. --MS Bank Dep Prgm (new bank account)		None	J	T					
91. --MFS Total Return A	A	Dividend	K	T					
92. --Blackrock Equity Dividend A	A	Dividend	K	T					
93. --Columbia Select LG CP Growth A		None	K	T					
94. IRA # 7	C	Dividend	M	T					
95. --MS Liquid Asset Fd			J	T					
96. --Am Growth Fd of Amer F	A	Dividend	K	T					
97. --Gabelli EQ Inc AAA	B	Dividend	K	T					
98. --MS Strategist Fund A	B	Dividend	L	T					
99. --American GR FD of America F	A	Dividend	K	T					

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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