

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) FILIPPINE, EDWARD L	2. Court or Organization USDC, EDMO	3. Date of Report 5/6/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior	5. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address T.F. Eagleton U.S. Courthouse 111 S. 10th St., Room 10.137 St. Louis, MO 63102	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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

RECEIVED
MAY 14 9 57 AM '04
FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FILIPPINE, EDWARD L

Date of Report

5/6/2004

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.)DATESOURCE AND TYPEGROSS INCOME

(yours, not spouse's)

1.

_____**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE1.

_____**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FILIPPINE, EDWARD L

Date of Report

5/6/2004

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)

☒ **NONE** - (No such reportable gifts.)

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		

FINANCIAL DISCLOSURE REPORT

Page 1 of 3

Name of Person Reporting
FILIPPINE, EDWARD L

Date of Report
5/6/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Bank of America, account	A	Interest	J	T					
2. Bank of America (IRA#1) (CDs)	A	Int/Distrib	J	T					
3. Bank of America (IRA#2) (CDs)	A	Interest	J	T					
4. Southwest Bank, account	A	Interest	J	T					
5. Brokerage Account --									
6. -- Robt. W. Baird & Co (IRA#1)	A	Div/Distrib	K	T					
7. * PIMCO FDS HI YLD CL C									
8. *First TR654-UNIT PHARM PORT SER 14 SEMI REIN									
9. *General Money Market									
10. -- Robt. W. Baird & Co. (IRA#2)	A	Dividend	J	T					
11. *PIMCO FDS HI YLD CL C									
12. *First TR654-UNIT PHARM PORT SER 14 SEMI REIN									
13. *General Money Market									
14. --Seligman Growth Fund CI A, mutual fund		None	J	T					
15. --Amer. Tel & Tel, common stock (See Part VIII)									
16. --SBC, common stock	B	Dividend			Sold	11/14	L	D	
17. --GSK, common stock	A	Dividend	J	T					
18. --EMC, common stock		None	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 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 = \$250,000-\$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 = \$5,000,001-\$25,000,000	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 2 of 3

Name of Person Reporting
FILIPPINE, EDWARD L

Date of Report
5/6/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
19. -BAC, common stock	A	Dividend	J	T					
20. -Missouri ST HLTH & EDL FACS, bond	A	Interest	J	T					
21. -CAG, common stock	A	Dividend	J	T					
22. -FITB, common stock	B	Dividend	L	T					
23. -SEL, common stock	A	Dividend	J	T					
24. -NTAP, common stock		None	J	T	Part Sale	12/9	J		
25. -Missouri ST HEFA HLTH FACS Rev Jeff. Mem. Hosp, bond	A	Interest	J	T					
26. -General Money Market at Robt. W. Baird & Co.	A	Interest	J	T					
27. -MO ST HLTH & EDL FACS Auth HLTH OIK Bk Entry, bond	A	Interest	J	T					
28. -Missouri ST HLTH & EDL FACS OIK Bk Entry, bond	A	Interest	J	T					
29. -MCDTA, common stock (See PART VIII)									
30. -AWE, common stock		None			Sold	12/16	J	A	
31. -GE, common stock	A	Dividend	J	T					
32. -Missouri ST ENVIRON IMPT & ENERGY, bond	A	Interest	J	T					
33. -CMCSA, common stock		None	J	T					
34. -PIMCO FDS HI YLD CL C, mutual fund (X) (See PART VIII)	A	Dividend	J	T					
35. -KMP, limited partnership	A	Dividend	J	T	Buy	09/26	J		
36.					Buy	11/24	J		

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

FINANCIAL DISCLOSURE REPORT

Page 3 of 3

Name of Person Reporting
FILIPPINE, EDWARD L

Date of Report
5/6/2004

VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	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, merger, 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)
37. --MO, common stock		None	J	T	Buy	11/24	J		
38. --PGN, common stock		None	J	T	Buy	11/24	J		
39. --SPI, common stock		None	J	T	Buy	11/24	J		
40. --VLI, limited partnership		None	J	T	Buy	11/24	J		
41. Phoenix Life Insurance Co., whole life (See PART VIII)	A	Div/Interest	J	T					
42. Great West Life & Ann. Ins. Co., whole life (See PART VIII)	A	Div/Interest	J	T					
43. Equitable Life Assur. Soc. of US, whole life (See PART VIII)					Redeemed	2002	J	D	
44. PNX, common stock (See PART VIII)	A	Dividend			Sold	10/21	J	B	

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

Symbols used in Report

AWE	AT&T Wireless Service, Inc.
BAC	Bank of America Corporation
CAG	Conagra, Incorporated
CMCSA	Comcast Corporation
EMC	EMC, Inc
FITB	Fifth Third Bancorp
GE	General Electric Corporation
GSK	Glaxo-SmithKline PLC
KMP	Kinder Morgan Energy Partners LP Unit LP int
MCDTA	McData Corporation, Cl A
MO	Altria Group, Inc.
NTAP	Network Appliances, Inc.
PGN	Progress Energy, Inc.
PNX	The Phoenix Companies, Inc.
SBC	Southwestern Bell Corporation
SEL	Seligman Select Municipal Fund
SPI	Scottish Power PLC SPONs
T	American Tel & Tel Corporation
VLI	Valero LP

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FILIPPINE, EDWARD L

Date of Report

5/6/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Each of the following formerly disclosed stocks no longer meets the reporting qualifying requirements either as to fair market value or income:

Part VII, line 15 -- AT&T common stock

Part VII, line 29 -- McData Corporation Cl A common stock

Part VII, line 34: This mutual fund stock was received on December 4, 2001 as a distribution from the Robert W. Baird & Company IRA #1 to satisfy the required minimum distribution from that account. However, it was not reportable in 2001 and 2002 as the fair market value or the income generated did not meet the reporting qualifying requirements; but by year's end in 2003 the fair market value had increased to \$1,055.37 and it became reportable.

Part VII, lines 40, 41 and 42: From prior inquiries it was my understanding that life insurance was exempt from disclosure. The instructions received this year and a discussion with your office made it clear that whole life insurance, as contrasted with term insurance, is reportable. Consequently, these insurance policies are being reported.

Part VII, line 42: For the reasons set out above, this insurance policy is being disclosed at this time to make the record complete notwithstanding the fact that the policy was redeemed on November 20, 2002.

Part VII, line 43: The Phoenix Life Insurance Company was converted to a stock life insurance company, "The Phoenix Companies, Inc." (PNX) on June 25, 2001. The stock was held by the company and inadvertently it was omitted from the 2001 Report despite its year end value of \$1,794.50. The error was not discovered in 2002 although in that year the fair market value and the income from the stock would have exempted it from reporting. In 2003, the company promoted a voluntary "Selling and Purchasing Program" to encourage any owner with less than [REDACTED] to either purchase additional shares to reach [REDACTED] or sell. This caused me to review this matter and in deciding to sell the stock I determined the facts set out herein plus the fact that the stock at the time of sale, October 21, 2003, had a value of \$1,081.47. Consequently, this detailed disclosure is made to correct the previous omission.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

FILIPPINE, EDWARD L

Date of Report

5/6/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date

May 6, 2004

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