

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) FILIPPINE, EDWARD L.	2. Court or Organization USDC, EDMO	3. Date of Report 05/05/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge-Senior Status	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 T.F. Eagleton United States Courthouse 111 South 10th Street, Room 10.137 St. Louis, Missouri 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.	
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
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. _____	_____
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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FILIPPINE, EDWARD L.

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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)
1. Bank of America, account	A	Interest	J	T					
2. Bank of America, IRA #1 (CDs)	A	Interest	J	T					
3. Bank of America, IRA #2 (CDs)	A	Interest	J	T					
4. Southwest Bank, account	A	Interest	J	T					
5. BROKERAGE ACCOUNT #1 (IRA #1):	A	Dividend	K	T					
6. --AEE, common stock									
7. --Dreyfuss General Money Market									
8. BROKERAGE ACCOUNT #2 (IRA #2):	A	Dividend	J	T					
9. --Dreyfuss General Money Market									
10. BROKERAGE ACCOUNT #3:									
11. -- Seligman Growth Fund C1 A, mutual fund		None	J	T					
12. --Dreyfuss General Govt Money Market	A	Dividend	J	T					
13. --AEE, common stock	A	Dividend	J	T					
14. --Missouri ST H&E FCS Auth IILTH FACS RV ST ANTHONY, bonds	A	Interest	J	T					
15. --Missouri ST ENVIRON IMPT & ENRGY Res Auth Wtr Plltn, bond	A	Interest	J	T					
16. BROKERAGE ACCOUNT #4:									
17. --T, common stock	A	Dividend			Sold	03/17	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	

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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. --BMY, common stock	A	Dividend			Buy (add'l)	09/18	J		
19.					Sold	12/15	J		
20. --GE, common stock	A	Dividend			Buy (add'l)	03/17	J		
21.					Sold	06/03	J		
22. --HBC, common stock	A	Dividend			Buy (add'l)	03/17	J		
23.					Sold	09/18	J		
24. --VZ, common stock	A	Dividend	J	T	Sold (part)	03/17	J		
25.					Buy (add'l)	09/18	J		
26. --APD, common stock	A	Dividend	J	T	Sold (part)	03/17	J	A	
27. --ALL, common stock	A	Dividend	J	T	Buy (add'l)	03/17	J		
28.					Sold (part)	09/18	J		
29. --CAT, common stock	A	Dividend			Sold	03/17	J		
30. --CNP, common stock (See Pt. VIII)	A	Dividend			Sold	03/17	J		
31. --CPB, common stock (See Pt. VIII)	A	Dividend	J	T	Buy (add'l)	09/18	J		
32. --CVX, common stock	A	Dividend			Sold	03/17	J		
33. --DD, common stock	A	Dividend	J	T	Buy (add'l)	03/17	J		
34.					Sold (part)	09/18	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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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)
35. --DTE, common stock	A	Dividend			Buy (add'l)	03/17	J		
36.					Sold	06/03	J		
37. --EMR, common stock	A	Dividend	J	T	Sold (part)	09/18	J	A	
38. --IGT, common stock	A	Dividend			Sold	06/03	J	C	
39. --KMB, common stock	A	Dividend	J	T	Buy (add'l)	09/18	J		
40. --MCHP, common stock	A	Dividend			Sold	09/18	J		
41. --MO, common stock	A	Dividend			Sold (part)	03/17	J		
42.					Sold	06/17	J		
43. --PFE, common stock	A	Dividend	J	T	Buy (add'l)	09/18	J		
44. --TEG, common stock	A	Dividend			Sold	09/18	J		
45. --TOT, common stock	A	Dividend	J	T	Buy (add'l)	09/18	J		
46. --UST, common stock		None			Sold	01/06	J	A	
47. --WDR, common stock	A	Dividend			Sold	03/17	J		
48. --WM, common stock (See Pt. VIII)	A	Dividend	J	T					
49. --WRI, common stock	A	Dividend	J	T	Buy (add'l)	03/17	J		
50.					Sold (part)	09/18	J	A	
51. --INTC, common stock	A	Dividend	J	T	Buy	09/18	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 = \$55,000,001 - \$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	
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52. --ABT, common stock		None	J	T	Buy	12/15	J		
53. --CTL, common stock	A	Dividend	J	T	Buy	09/18	J		
54. --DBD, common stock	A	Dividend	J	T	Buy	06/17	J		
55. --ETR, common stock	A	Dividend	J	T	Buy	03/17	J		
56.					Buy (add'l)	09/18	J		
57. --EXC, common stock	A	Dividend	J	T	Buy	03/17	J		
58.					Buy (add'l)	09/18	J		
59. --HD, common stock	A	Dividend	J	T	Buy	06/03	J		
60. --JNJ, common stock	A	Dividend	J	T	Buy	03/17	J		
61.					Buy (add'l)	09/18	J		
62. --MTB, common stock	A	Dividend	J	T	Buy	09/18	J		
63. --MCD, common stock	A	Dividend	J	T	Buy	06/03	J		
64.					Buy (add'l)	09/18	J		
65. --NSC, common stock	A	Dividend	J	T	Buy	03/17	J		
66. --PG, common stock	A	Dividend	J	T	Buy	03/17	J		
67.					Buy (add'l)	09/18	J		
68. --SUG, common stock	A	Dividend	J	T	Buy	09/18	J		

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69. --MMM, common stock	A	Dividend	J	T	Buy	06/03	J		
70. --AVP, common stock	A	Dividend			Buy	01/16	J		
71.					Sold	09/18	J	C	
72. --Dreyfuss General Money Market	A	Dividend	J	T					
73. Phoenix Life Ins. Co., whole life	A	Int./Div.	J	T					
74. Great West Life & Ann. Ins. Co., whole life	A	Int./Div.	J	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 P1 = \$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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of Report.)*

Part VII, line 30: On my 2008 FDR, there was a "buy" entry on 03/18/08 for CNP that was duplicated on lines 44 and 83. There was also a sale on 12/16/08 set out on line 84 which was actually a "part sale" and did not dispose of all the shares of CNP. The remaining shares were sold on 03/17/09 as set out on line 30 of this report.

Part VII, line 31: On my 2008 FDR, there was a "buy" entry on 03/18/08 for CPB that was duplicated on lines 45 and 78. Also sales were listed on lines 79 and 80 but only one (line 79) used the correct designation of "part sale." In fact, they were both part sales and did not dispose of all the shares of stock. Consequently, our ownership of shares of CPB continued into 2009 and was increased in that year by an additional buy as listed on line 31.

Part VII, line 48: The current stock symbol for Waste Management Inc. is "WM"; changed from "WMI" as used in my 2008 FDR.

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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