

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2018**

*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 04/06/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. District Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☒ Amended Report	
7. Chambers or Office Address 401 W. Washington St., SPC 52 Phoenix, AZ 85003		
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.</i>		

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.		

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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Wake, Neil V.	04/06/2020

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.)

DATE	SOURCE AND TYPE	INCOME (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.)

DATE	SOURCE AND TYPE
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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
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.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

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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)	(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)
1. Wells Fargo accounts	A	Interest			Closed	12/13/18	J	A	
2. Apache Peak Inv., LLC (company out of business)		None			Closed	08/31/18	J	A	
3. Interstate Ventures V Ltd. Ptshp	G	Distribution			Closed	09/21/18	N	G	
4. IRA # 1									
5. --Investco Premier Inst (IPPXX)	A	Dividend	J	T					
6. --JP Morgan Mid Cap Value I (JMV SX)	A	Dividend	K	T	Buy (add'l)	12/18/18	J		
7. --JP Morgan Mid Cap Value I (JMV SX)	C	Dividend	K	T	Buy (add'l)	12/13/18	J		
8. --Lord Abbett Innoome F (LAUF X)	A	Dividend	J	T	Buy (add'l)	11/15/18	J		
9. BROKERAGE ACCT # 3									
10. --SEI Tax-Free Fund (MM)	A	Dividend			Closed	11/30/18	J		
11. --SEI Real Estate Fd	A	Dividend	J	T			J	A	
12. --SEI Tax Managed Vol Fd	A	Dividend	J	T					
13. --SEI Intermed Term Muni Fd	A	Dividend	J	T					
14. --SEI Tax AdvantagedInc Fd	A	Dividend	J	T					
15. Voya ING GoldenSelect Landmark Annuity (variable annuity)	E	Distribution	N	T					
16. --Voya Retirement Moderate A	E	Distribution			Merged (with line 15)	11/30/18	N		
17. Athene (formerly AVIVA) Co. Life and Annuity	E	Distribution	N	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 =\$250,001 - \$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 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 # 4									
19. --Morgan Stanley Bank	A	Dividend	K	T					
20. --SEI Intermed. Term Municipal Fd (SEIMX)	A	Dividend	K	T					
21. --Cisco Systems Inc (common)	A	Dividend	J	T					
22. --SEI Short Duration Municipal Fd	A	Dividend	M	T					
23. --SEI Tax-Advantaged Income Fd # 19	A	Dividend	K	T					
24. --SEI Tax Managed Volume Fd	B	Dividend	K	T					
25. --SEI RealEstate Fd	A	Dividend	J	T					
26. --SEI Tax-Free Fd	A	Dividend	J	T					
27. Business Dev Corp of America	D	Dividend	L	W					
28. Jackson Nat. Life Ins. Co. (annuity) (variable)	F	Distribution	P1	T					
29. --JNL/S&P Managed Moderate Growth	F	Distribution	O	T					
30. --JNL/S&P Managed Moderate	E	Distribution	O	T					
31. Pinal County, AZ, land		None			Sold	09/14/18	J		
32. Mohave County, AZ, land		None	J	W					
33. Nationwide Life Ins. (whole life)		None	K	T					
34. Section 529 Account									

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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35. --Ivy Capital Apprec. E (420)	D	Dividend	K	T					
36. IRA # 5--									
37. --Athene (formerly Aviva) Life and Annuity (fixed annuity)	E	Distribution	N	T					
38. Trust # 5 (beneficiaries)									
39. --SEI Prime Obligation Fund	A	Dividend	L	T					
40. --SEI Large Cap Growth Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
41. --SEI Large Cap Value Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
42. --SEI Small Cap Growth Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
43. --SEI Small Cap Value Fd	A	Dividend	J	T					
44. --SEI Core Fixed Inc Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
45. --SEI Intl Fixed Inc Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
46. --SEI Intl Equity Fd	A	Dividend	J	T	Sold (part)	12/06/18	J	A	
47. BROKERAGE ACCT # 6									
48. --Invesco Growth & Inc A (formerly Van Kampen Grw & Inc A)	D	Dividend	L	T					
49. --Ivy Large Cap Grw I Fd	D	Dividend	L	T					
50. --Amer Balanced Fd2	C	Dividend	K	T					
51. --Morgan Stanley Bk Dep	A	Interest	K	T					

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	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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52. Federate Muni Obligation WS (MOFXX)	A	Dividend	N	T	Buy	12/07/18	K		
53. Callon Petroleum Co (common)		None	J	T					
54. BROKERAGE ACCT # 9									
55. --Morgan Stanley Bank	A	Interest	L	T					
56. --MFS Total Return I	A	Dividend	J	T					
57. --Blackrock Equity Dividend I	A	Dividend	J	T					
58. --Fidelity Adv New Insights I	A	Dividend	J	T					
59. --Nationwide Life Guaranteed UL Ins. Pol. (omitted by mistake)	D	Dividend	K	T					
60. --Scottsdale AZ Inde Dev Auth Hosp bonds (BEX96)	B	Interest	K	T	Buy	12/06/18	J		
61. IRA # 7	C	Dividend	K	T					
62. --Morgan Stanley Bank	A	Interest	L	T					
63. --Invesco Premier PTF Instl (MM) (IUGXX)	A	Dividend			Sold	12/31/18	J	A	
64. --Am Growth Fd of Amer F2	D	Dividend			Sold	12/13/18	J	A	
65. --First Eagle Global I	C	Dividend			Sold	12/13/18	K	A	
66. --Nuveen Santa Barbara Div Growth I	D	Dividend	M	T	Buy (add'l)	12/13/18	K		
67. --JP Morgan Mid Cap Value I (JMV SX)	D	Dividend	M	T	Buy (add'l)	12/13/18	K		
68. --Columbia Strategi Income Inst (LSIZX)	D	Dividend	M	T	Buy	12/13/18	M		

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
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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.)

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	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)
69. Office and Industrial REIT (Cole Real Estate)	D	Dividend	L	W					
70. Morgan Stanley Bank (MSPBNA)	A	Interest	K	T	Open	12/06/18	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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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: s/ Neil V. Wake

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY 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