

AO 10
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
NOMINATION FILING

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. 2; 101-111)

1. Person Reporting (last name, first, middle initial) Shah, Manish S	2. Court or Organization U.S. District Court, Northern District of Illinois	3. Date of Report 09/19/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active Status	5a. Report Type (check appropriate type) ☒ Nomination Date 09/19/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 08/31/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address United States Attorney's Office 219 S. Dearborn Street, 5th Floor Chicago, Illinois 60604		
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.		

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		

Name of Person Reporting	Date of Report
Shah, Manish S.	09/19/2013

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 1*-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	2012	Northwestern University - salary
2	2013	Northwestern University - salary
3	2013	Cambridge University Press - book royalties
4	2013	University of Pennsylvania - honorarium (\$200)
5	2013	Wiley-Blackwell - honorarium (\$400)

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	Exempt				
2					
3					
4					
5					

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

☐ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1	Exempt		
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	Sallie Mae	Education Loan		L
2				
3				
4				
5				

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-III)	Type (e.g., div., corp., or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date month/day	Value Code 2 (J-P)	Gain Code 1 (A-III)	Identity of buyer/seller (if private transaction)
1. Chase Bank Account	A	Interest	K	F	Exempt				
2. American Century Equity Growth Fund	B	Distribution	L	T					
3. American Century Growth Fund	B	Distribution	K	F					
4. American Century One Choice 2040 Fund	A	Distribution	J	T					
5. American Century Select Fund	B	Distribution	N	F					
6. American Century Vista Fund		None	K	T					
7. Fidelity Balanced Fund	B	Dividend	L	F					
8. Fidelity Cash Reserves	A	Dividend	L	T					
9. Fidelity Focused Stock Fund		None	J	F					
10. Fidelity Select Software & Computer Services Portfolio	A	Dividend	K	F					
11. Fidelity Freedom K 2035 Fund	A	Int./Div.	J	F					
12. Merrill Lynch Cash Reserves		None	J	T					
13. TIAA-CREF Lifecycle 2055 Fund	A	Distribution	J	T					
14. SC Deferred Comp AllianceBern Small Cap Growth Fund		None	J	T					
15. SC Deferred Comp SSgA Target Retirement 2040 SL Series II		None	J	F					
16. SC Deferred Comp T. Rowe Price Growth Fund		None	J	T					
17. American Funds Fundamental Investors	A	Dividend	J	T					

1. Income/Gain Codes
(See Columns H1 and H4)

2. Value Codes
(See Columns C1 and C2)

3. Value Method Codes
(See Column C3)

A: \$1,000 or less
B: \$50,001 - \$100,000
C: \$15,000 or less
D: \$250,001 - \$500,000
E: \$25,000,001 - \$50,000,000
F: Appraisal
G: Broker Valued

B: \$1,001 - \$2,500
C: \$100,001 - \$1,000,000
K: \$15,001 - \$50,000
O: \$500,001 - \$2,000,000
R: Cost (Redeemable Only)
X: Other

L: \$2,501 - \$5,000
H1: \$1,000,001 - \$5,000,000
I: \$50,001 - \$100,000
P1: \$1,000,001 - \$5,000,000
P4: More than \$50,000,000
S: Assessment
W: Unaudited

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

F: \$15,001 - \$50,000

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 4 (A-H)	Identity of buyer/seller (if private transaction)
18. Aston Fairpointe Mid Cap Fund	A	Dividend	J	T					
19. Columbia Small Cap Core Fund Z	A	Dividend	J	T					
20. MFS Massachusetts Investors Growth Stock Fund	A	Dividend	J	J					
21. Oppenheimer International Growth Fund	A	Dividend	J	T					
22. T. Rowe Price Retirement 2010 Fund	A	Dividend	J	F					
23. T. Rowe Price Retirement 2040 Fund	A	Dividend	J	T					
24. VALIC Fixed Income	A	Interest	J	F					
25. Vanguard Health Care Fund	A	Dividend	J	T					

1. Income/Gain Codes
(See Columns H3 and H4)

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
F = \$50,001 - \$100,000
G = \$100,001 - \$250,000
H = \$250,001 - \$500,000
I = \$500,001 - \$1,000,000
J = \$1,000,001 - \$5,000,000
K = \$5,000,001 - \$25,000,000
L = \$25,000,001 - \$50,000,000
M = More than \$50,000,000

2. Value Codes
(See Columns C1 and C2)

J = \$15,000 or less
K = \$15,001 - \$50,000
L = \$50,001 - \$100,000
M = \$100,001 - \$250,000
N = \$250,001 - \$500,000
O = \$500,001 - \$1,000,000
P = \$1,000,001 - \$5,000,000
Q = \$5,000,001 - \$25,000,000
R = \$25,000,001 - \$50,000,000
S = More than \$50,000,000

3. Value Method Codes
(See Column C3)

Q = Appraisal
R = Broker Value
S = Cost or Real Estate Only
T = Other
U = Assessment
V = Estimated
W = Cash/Market

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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/* Manish S. Shah

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		36	224	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities - see schedule		680	634	Notes payable to relatives			
Unlisted securities				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable - personal residence		539	834
Real estate owned - personal residence		690	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		85	000	Education Loan		70	220
Cash value-life insurance							
Other assets itemize:							
Thrift Savings Plan		365	095				
				Total liabilities		610	054
				Net Worth	1	246	899
Total Assets	1	856	953	Total liabilities and net worth	1	856	953
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged?	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							

AFFIDAVIT

I, MANISH S. SHAH, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

SEPTEMBER 20, 2013

(DATE)

Manish S. Shah

(NAME)

Peggy M. Zabinski

(NOTARY)

