

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. §§ 101-111)

1. Person Reporting (last name, first, middle initial) ROSENSTENGEL, NANCY J.	2. Court or Organization UNITED STATES DISTRICT COURT SOUTHERN DISTRICT OF ILLINOIS	3. Date of Report 01/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Court Judge	5a. Report Type (check appropriate type) ☒ Nomination Date 01/06/2014 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/27/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address UNITED STATES DISTRICT COURT MELVIN PRICE FEDERAL BUILDING AND COURTHOUSE 750 MISSOURI AVENUE, ROOM 104 EAST ST. LOUIS, ILLINOIS 62201		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting	Date of Report
ROSENSTENGEL, NANCY J.	01/06/2014

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. 2013	BONIFIELD AND ROSENSTENGEL, INC. ATTORNEY AT LAW - SALARY
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. 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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	FCB BANK	MORTGAGE ON OFFICE PROPERTY (Part VII, line 87)	L
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
ROSENSTENGEL, NANCY J.	01/06/2014

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. REGIONS BANK CASH ACCOUNTS	A	Interest	L	T	Exempt				
2. BONIFIELD AND ROSENSTENGEL STOCK	A	Dividend	N	W					
3. HUNTLEIGH CASH ACCOUNT	A	Interest	J	T					
4. FEDERATED PRIME CASH	A	Interest							
5. CLAYMORE GUGGENHEIM MULTI ASSET INCOME	B	Dividend							
6. IPATH DOW JONES UBS GRAIN TOTAL RETURN	A	Dividend							
7. ISHARE BARCLAYS MBS BOND FUND	A	Dividend							
8. SPDR BARCLAYS HIGH YIELD BONDS	A	Interest							
9. SPDR GOLD TRUST	A	Dividend	J	T					
10. UNITED STATES OIL FUND	A	Dividend							
11. VANGUARD SHORT TERM BOND	A	Interest							
12. VANGUARD TOTAL BOND	B	Interest							
13. ISHARE S&P US PFD STK	A	Dividend							
14. ISHARE JP MORGAN EMGR MARKET BONDS	A	Int./Div.							
15. FIRST TRUST IND/PROD DURABLE ALP FUND	A	Dividend	J	T					
16. SELECT SCT SPDR F HEALTH CARE	A	Distribution							
17. POWERSHARE SENIOR LOAN PORT	A	Dividend	J	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	

Name of Person Reporting	Date of Report
ROSENSTENGEL, NANCY J.	01/06/2014

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. FIRST TR FINANCIAL ALPHADEX FUND	A	Dividend	J	T					
19. FIRST CHINA APLHADEX FD	A	Dividend							
20. ISHARE MSCI BRAZIL INDX	A	Dividend							
21. ISHARE S&P 500 GROWTH INDX FD	A	Dividend	J	T					
22. ISHARE TR DOW US REAL ESTATE INDX FD	A	Dividend							
23. POWER SHARES QQQTR SERIES 1	A	Dividend	J	T					
24. FIRT TR MULTI ASSET DIV INC INDX FD	A	Dividend							
25. FIRT TR SMALL CAP CORE ALPHHADEX FUND	A	Dividend	J	T					
26. PROSHARES TRUST SHORT 20+ TR TREASURY	A	Dividend	J	T					
27. SPDR BARCLAYS CAPITAL HI YIELD BOND	A	Int./Div.	J	T					
28. ISHARE CORE S&P MID-CAP	A	Dividend	J	T					
29. FRANKLIN INCOME FUND A	A	Dividend	J	T					
30. BRIGHT STAR COLLAGE SAV AGE BASED 10-11	A	Dividend	J	T					
31. BRIGHT STAR COLLAGE SAV AGE BASED 12-14	A	Dividend	J	T					
32. BRIGHT STAR COLLAGE SAV AGE BASED 15-17	A	Dividend	J	T					
33. COCA COLA STOCK	A	Dividend	J	T					
34. PUTNUM MULTI -CAP GROWTH FUND	A	Dividend	J	T					

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

Name of Person Reporting	Date of Report
ROSENSTENGEL, NANCY J.	01/06/2014

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)
35. BRIGHT START ADVISOR EQUITY H	A	Dividend							
36. NML LIFE INSURANCE- WHOLE LIFE CASH VALUE	B	Dividend	M	T					
37. COUNTRY COMPANIES WHOLE LIFE INSURANCE CV	B	Dividend	L	T					
38. HARTFORD LIFE W-LIFE INSURANCE POLICY-CASH VALUE	B	Dividend	K	T					
39. JJB PROFIT SHARING PLAN AC	F	Int./Div.	P1	T					
40. - AT&T INC (Y)									
41. - ARCH COAL (Y)									
42. - BANK OF AMERICA (Y)									
43. - AUTOMOTIVE DATA PROCESSING (Y)									
44. - BANK OF AMERICA (Y)									
45. - CATERPILLAR INC (Y)									
46. - CHEVRON CORPORATION (Y)									
47. - DELL (Y)									
48. - EXXON MOBLE (Y)									
49. - JOHNSON & JOHNSON (Y)									
50. - GENERAL ELECTRIC (Y)									
51. - ISHARE BARCLAYS (Y)									

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

I = \$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

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)
52. - ISHARE S&P U.S. PRF STOCK (Y)									
53. - ISHARES JP MORGAN EMERG MKT BOND FUND (Y)									
54. - NIKE INC (Y)									
55. - PEABODY ENERGY (Y)									
56. - MERCK & CO (Y)									
57. - MICROSOFT (Y)									
58. - PFIZER INCORP (Y)									
59. - T ROW PRICE MID-CAP GR (Y)									
60. - SPDR BATCLAYS CAP HI YIELD BOND (Y)									
61. - TELLABS INC (Y)									
62. - UNION PACIFIC CORP (Y)									
63. - VERIZON COMMUNICATIONS (Y)									
64. - WALL-MART STORES INC (Y)									
65. WESTERN UNION (Y)									
66. - PROCTOR AND GAMBLE (Y)									
67. - FRONTIER COMMUNICATION (Y)									
68. - VANGUARD SHORT TERM ET CORP BONDS (Y)									

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
I = \$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

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)
69. - UNITED TECHNOLOGIES (Y)									
70. - JP MORGAN PRIME MONEY MARKET (Y)									
71. - ZOLTEK COS INC (Y)									
72. - WELLS FARGO COMP (Y)									
73. - UNITED HEALTH GROUP INC (Y)									
74. - GUGGENHEIM S&P 500 EQ WGT FIN (Y)									
75. - JP MORGAN CHASE (Y)									
76. - HOME DEPOT INC (Y)									
77. - HENNESSY FUNDS TR (Y)									
78. - SPDR BARCLAYS SHT TERM HI YIELD BOND (Y)									
79. - APPLE INC (Y)									
80. - FIRT TR CONSUMER DSI ALPHAD EX FD (Y)									
81. - NORFOLK SOUTHERN COR (Y)									
82. - JP MORGAN US TREAS SECURITIES MOMEY (X) MARKET (X)									
83. - WISDOMTREE US DIV GROWTH FUND (X)									
84. - U.S. TREASURY BONDS (X)									
85. - PROSHARES TRUST SHORT 20 YR TREASURY (X)									

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
I = \$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

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)
86. - SPDR GOLD TRUST (X)									
87. - SPDR BARCLAYS SHORT TERM HIGH YIELD (X)									
88. - SELECT SECTOR SPDR T HEALTH CARE (X)									
89. - POWERSHARES SENIOR LOAN PORTFOLIO (X)									
90. - MARKET VECTORS TRUST BUSINESS DEVELOPMENT CO (X)									
91. - FIRST TRUST FUND IV SENIOR LOAN FUND (X)									
92. - FIRST TRUST SMALL CAP CORE ALPHADEX FUND (X)									
93. - FIRST TRUST INDUST PRODUC DURABLES ALPHADEX FUND (X)									
94. - FIRST TRUAT VI MULTI-ASSET DIV INCOME INDEX FUND (X)									
95. OFFICE PROPERTY, BELLEVILLE, ILLINOIS	D	Rent	M	W					

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
P1 = \$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

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
ROSENSTENGEL, NANCY J.	01/06/2014

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/ NANCY J. ROSENSTENGEL**

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		66	000	Notes payable to banks-secured (auto)		19	522
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule		132	622	Notes payable to relatives			
Unlisted securities – see schedule		250	000	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others		93	900	Other unpaid income and interest			
Doubtful				Real estate mortgages payable – office property		83	638
Real estate owned – see schedule		555	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		142	000				
Cash value-life insurance		238	627				
Other assets itemize:							
Bonifield & Rosenstengel Profit Sharing		414	045				
Thrift Savings Plan		325	495				
				Total liabilities		103	160
				Net Worth	1	114	529
Total Assets	2	217	689	Total liabilities and net worth	2	217	689
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor				Are any assets pledged? (Add schedule)	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							