

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) REINHARD, PHILIP G.	2. Court or Organization NDIL - WESTERN DIVISION	3. Date of Report 05/10/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 327 SOUTH CHURCH STREET ROOM 6100 ROCKFORD, ILLINOIS 61101		
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.	TRUSTEE	TRUST #1
2.	EXECUTOR	ESTATE #1 OF FAMILY MEMBER
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. 2016	Illinois Judges' Retirement System & Illinois Municipal Retirement Fund - Vested. Benefits began 1/12/1996.
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. 2016	Illinois Judges' Retirement System	\$78,898.08
2. 2016	Illinois Municipal Retirement Fund	\$15,636.11
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. 2016-Int.	Substitute Teacher - Harlem Consolidated School District
2. 2016	Teachers Retirement System of the State of Illinois
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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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. Regal Beloit Corporation Common Stock - Trust #1	B	Dividend	M	T					
2. EQTCorp, formerly listed as Equitable Resources Common Stock - Trust #1	A	Dividend	M	T					
3. Vanguard - Index Total Stock Market Fund	D	Dividend	N	T	Sold (part)	05/23/16	M	F	
4. Vanguard - Index Total Stock Market Fund - Trust #1	A	Dividend	K	T	Sold (part)	04/18/16	K	D	
5. E*Trade Clearing LLC Brokerage Account - Trust #1	A	Interest	L	T					
6. Vanguard Prime Money Market Fund	A	Dividend	L	T	Buy (add'l)	05/23/16	M		
7.					Redeemed (part)	08/11/16	K		
8.					Redeemed (part)	12/23/16	J		
9. Vanguard Prime Money Market Fund - Trust #1	A	Dividend	K	T	Buy (add'l)	04/19/16	K		
10.					Redeemed (part)	08/12/16	K		
11. Gold - Krugerrands		None	M	T					
12. Johnson & Johnson Corp. Common Stock - Trust #1	B	Dividend	L	T					
13. MGE Energy Inc. Common Stock - Trust #1	B	Dividend	L	T					
14. 3M Corp. Common Stock - Trust #1	B	Dividend	L	T					
15. Exco Resources Inc. Common Stock - Trust #1		None			Sold	05/23/16	J		
16. Vanguard Intn. Eq. Ind Fd Emr. Mkt. ETF - Trust #1	A	Dividend			Sold	05/23/16	K		
17. Vanguard Intermediate-term Tx. Muni bonds - Admiral	D	Interest	N	T	Buy (add'l)	08/11/16	K		

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 \$5,000,000	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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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. Alpine Bank Financial Accounts	A	Interest	L	T					
19. Alpine Bank Financial Account - Trust #1	A	Interest	J	T					
20. Vanguard Intermediate-term Tx. Muni bonds - Inv - Trust #1	B	Interest	L	T	Buy (add'l)	08/11/16	K		
21. Abraxas Pete, Common Stock - Trust #1		None	J	T					
22. WisdomTree Emerging Markets Small Cap Div. Fund - Trust #1	A	Dividend			Sold	05/23/16	J		
23. Devon Energy Corp. Common Stock - Trust #1	A	Dividend	K	T					
24. Ally Bank - Trust #1	C	Interest	M	T					
25. Ally Bank	B	Interest	M	T					
26. Energy Transfer Partners LP Units - Trust #1	A	Dividend	K	T					
27. Apple Inc., Common Stock - Trust #1	A	Dividend	K	T					
28. Vanguard REIT Index Fund - Trust #1	A	Dividend			Sold	05/23/16	K	C	
29. Novartis AG Common Stock - Trust #1	A	Dividend	K	T					
30. Vanguard ST Invest. Grade Fund	B	Dividend	L	T					
31. Vanguard ST Invest. Grade Fund - Trust #1	B	Dividend	L	T					
32. Polaris Global Value Fund	A	Dividend	K	T					
33. T.Rowe Price Health Sciences Fund	B	Dividend	K	T					
34. Vanguard Capital Opportunity Fund	B	Dividend	K	T					

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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	
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35. Vanguard Healthcare Fund	B	Dividend	K	T	Buy (add'l)	12/23/16	J		
36. Market Vectors ETF Tr. Jr Gold Miners ETF Trust #1	A	Dividend	K	T	Buy (add'l)	01/19/16	J		
37. Penumbra Inc., Common Stock Trust #1		None	L	T	Buy (add'l)	01/28/16	J		
38. Brazil Resources Common Stock (now GoldMining Inc.) Trust #1		None	J	T	Buy	08/11/16	J		
39. Vanguard Federal Money Market Fund - Trust #1	A	Dividend	K	T	Buy	05/24/16	K		
40.					Buy (add'l)	05/26/16	J		
41. (X) Vanguard Dividend Growth Fund Investors Shares	A	Dividend	J	T					
42. (X) Vanguard Prime Money Market Fund	A	Dividend	K	T					
43. (X) Ishares Nasdaq Biotechnology ETF	A	Dividend	K	T					
44. (X) Energy Select Sector SPDR ETF	A	Dividend	J	T					
45. (X) Vaneck Vectors Gold Miners ETF	A	Dividend	J	T					
46. (X) Apple Inc., Common Stock	A	Dividend	K	T					
47. (X) Brown-Forman Corporation Class B Common Stock	A	Dividend	J	T					
48. (X) Facebook Inc., Class A Common Stock	A	Dividend	K	T					
49. (X) Netflix Inc., Common Stock	A	Dividend	J	T					
50. (X) Tinka Resources Ltd., Common Stock		None	J	T					
51. (X) AT & T Common Stock	A	Dividend	J	T					

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52. (X) Facebook Inc., Class A Common Stock	A	Dividend	K	T					
53. (X) General Electric Co. Common Stock	A	Dividend	J	T					
54. (X) Extended Insurance Sweep Deposit Acct.	A	Dividend	K	T					
55. (X) ESTATE #1 OF FAMILY MEMBER									
56. (X) Apple Inc., Common Stock	A	Dividend	K	T					
57. (X) Facebook Inc., Class A Common Stock	A	Dividend	J	T					
58. (X) Apline Bank Financial Acct.	A	Interest	M	T					
59. (X) E-Trade Extended Insurance Sweep Acct.	A	Dividend	J	T					

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

1. Assets listed in Part VII, Lines 41 - 50 are owned equally by my wife and myself in a Vanguard inherited Roth IRA Brokerage Account received in October 2016 as beneficiaries of this Vanguard Account upon the death of our son on September 24, 2016.
2. Assets listed in Part VII Lines 51 - 54 are owned by my wife in an E-Trade Account entitled Virginia S. Reinhard Beneficiary of Bruce P. Reinhard, deceased. IRA E-Trade custodian received in October 2016 as the beneficiary of this E-Trade Account upon the death of our son on September 24, 2016.
3. Assets listed in Part VII Lines 55 - 59 are assets in the Estate of my son Bruce P. Reinhard, deceased September 24, 2016, where I am the Executor.

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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/ **PHILIP G. REINHARD**

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
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Washington, D.C. 20544