

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Bernthal, David G.	2. Court or Organization U.S. District Court, CD/IL	3. Date of Report 05/05/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse 201 S. Vine Street Urbana, IL 61802		
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. 1/87	Deferred Compensation Plan, State of Illinois (former employee) (See Notes Part VIII)
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. 2014	Self-Employed (Real Estate Broker)
2. 2014	Retail
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. IPLAC (Intellectual Property Law Association of Chicago)	2/7/14-2/8/14	Chicago, IL	Moot Court Competition	Lodging/Parking/Mileage
2. Illinois State Bar Association	12/12/14-12/13/14	Retail Chicago, IL	Committee Meeting	Committee Meeting
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.	Midland State Bank	Business Line of Credit [REDACTED]	None
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. Marine Bank	A	Interest	J	T					
2. Angeles Partners XIV	A	Rent	J	W					
3. Busey Bank Account	A	Interest	J	T					
4. Busey Bank Account	A	Interest	J	T					
5. Busey Bank Account	A	Interest	J	T					
6. Busey Bank Account	A	Interest	J	T					
7. Busey Bank Account	A	Interest	J	T					
8. Busey Bank Account	A	Interest	J	T					
9. T. Rowe Price Retirement 2010 Fund	A	Dividend	L	T					
10. State University Retirement System	A	Interest			Sold	02/07/14	J	A	
11. Busey Bank Account	A	Interest	J	T					
12. MFS Value Fund Class I (MEIIX (IRA))	C	Dividend	L	T					
13. Leader Short Term Fund Bond Institutional Fund LCCIX (IRA)	A	Dividend	K	T					
14. Parnassus Mid-Cap Fund PARMX (IRA)	B	Dividend	L	T					
15. Principal Global Real Estate Securities Fnd POSPX (IRA)	A	Dividend	K	T					
16. Virtus Multi-Sector Short Term Bond Fund Class I PIMSX (IRA)	A	Dividend			Sold	01/27/14	K		
17. Templeton Global Bond Fund Advisor Class TGBAX (IRA)	A	Dividend	J	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	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. New World Fund Class F-2 NFFFX (IRA)	B	Dividend	K	T					
19. Prudential Absolute Return Bond Fund Class Z PADZX (IRA)	A	Dividend	K	T					
20. TWC Select Equities FD Class I TGCEX (IRA)		None			Sold	05/14/14	L		
21. Putnam Convertible Securities Fund Class Y PCGYX (IRA)	B	Dividend	K	T					
22. Oppenheimer Senior Floating Rate Fund Class Y OOSYX (IRA)	B	Dividend	K	T					
23. Mainstay Marketfield Fund Class I MFLDX (IRA)		None			Sold	05/02/14	K		
24. The Oakmark International Fund Class I OAKIX (IRA)	B	Dividend	K	T					
25. Franklin International Small Cap Growth Fund Advisor Class FKSCX (IRA)		None			Sold	12/10/14	K		
26. Eaton Vance Floating Rate Advantage FD Class I EIFAX (IRA)	B	Dividend	K	T					
27. TCW Relative Value (Formerly Dividend Focused Fund) TGIGX (IRA)	A	Dividend	L	T					
28. Ridgeworth High Income Fund Class I STHZX (IRA)	B	Dividend	K	T					
29. Oppenheimer International Growth Fund Class Y OIGYX (IRA)		None			Sold	12/10/14	K		
30. T. Rowe Price New Horizons PRNHX (IRA)	C	Dividend	K	T					
31. Principal Midcap Fund Class P PMCPX (IRA)	C	Dividend	L	T					
32. Pimco Income Fund Class D PONDY (IRA)	C	Dividend	K	T					
33. Alliance Bernstein High Income Fund Advisor Class AGDYX (IRA)	C	Dividend	K	T					
34. Fidelity Advisor New Insights Fund Class I FINSX (IRA)	D	Dividend	L	T					

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35. Hancock Horizon Family Burkenroad Fund Class D HYBUX (IRA)	A	Dividend	K	T					
36. Transamerica Short-Term Bond Fund TSTIX (IRA)	A	Dividend	J	T					
37. T Rowe Price Stable Return Fund (IRA)	A	Dividend	J	T					
38. Lord Abbott Large Cap Core Stra. Sep. (IRA)	A	Interest	J	T		09/24/14			See Note - Pt. VIII
39. Pershing Government Account (IRA)		None	J	T					
40. Goldman Sachs Strategic Income Fund Class I GSZIX (IRA)	B	Dividend	K	T	Buy	01/27/14	L		
41. Invesco Equally Weighted S&P 500 Class Y VADDX (IRA)	A	Dividend	K	T	Buy	12/10/14	K		
42. Ivy International Core Equity Fund Class I ICEIX (IRA)	C	Dividend	K	T	Buy	12/10/14	K		
43. Maingate MLP Fund Institutional Class IMLPX (IRA)	A	Dividend	K	T	Buy	05/02/14	K		
44. Putnam Multi-Cap Core Fund Class Y PMYYX (IRA)	B	Dividend	L	T	Buy	05/15/14	L		
45. Calamos Evolving World Growth Fund CNWIX (Spouse IRA)		None			Sold	11/03/14	J		
46. Hancock Horizon Family Burkenroad Fund HYBUX (Spouse IRA)	A	Dividend	J	T					
47. MFS International Value Fund MINIX (Spouse IRA)	A	Dividend	J	T					
48. T. Rowe Price Extended Equity Market Index PEXMX (Spouse IRA)	A	Dividend	J	T					
49. Sun America Focused Dividend Strategy Fund FDSWX (Spouse IRA)	A	Dividend	J	T					
50. Eaton Vance Floating Rate Fund EABLX (Spouse IRA)	A	Dividend	J	T					
51. Leader Short Term Bond Fund LCCIX (Spouse IRA)	A	Dividend	J	T					

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52. Goldman Sachs Strategic Income Fund GSZIX (Spouse IRA)	A	Dividend	J	T					
53. Ivy High Income Fund IVHIX (Spouse IRA)	A	Dividend	J	T					
54. Maingate MLP Fund Institutional Class IMLPX (Spouse IRA)		None	J	T	Buy	11/25/14	J		
55. Pershing Government Account (Spouse IRA)		None	J	T					
56. Sun America Focused Dividend Strategy Fund FDSWX (Spouse SEP)	A	Dividend	J	T					
57. Invesco Equally Weighted S&P 500 Fund VADDX (Spouse SEP)	A	Dividend	J	T					
58. Vanguard Index Trust Total Stock VTSMX (Spouse SEP)	A	Dividend	K	T	Buy	04/10/14	K		
59. Pershing Government Account (Spouse SEP)		None	J	T					
60. Federated Capital Reserves Money Fund (IND)		None	J	T	Open	12/10/14	J		
61. Cozad Small Cap Value Fund Class I COZIX (IND)	A	Dividend	K	T	Buy	12/10/14	K		
62. Delaware Value Fund Class I DDVIX (IND)	A	Dividend	K	T	Buy	12/10/14	K		
63. Federated Capital Reserves Money Fund (IND EI)	A	Interest	J	T	Open	02/06/14	J		
64. American Electric Power Co AEP (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
65. American Software Inc CL A AMSWA (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
66. American STS Water Co AWR (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
67. Annaly Cap Mgmt Inc NLY (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
68. Apollo Invst Corp AINV (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		

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69. ARES Cap Corp ARCC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
70. B&G Foods BGS (IND EI)		None			Buy	02/12/14	J		
71. B&G Foods BGS (IND EI)		None			Sold	03/14/14	J		
72. Bristol Myers Squibb BMY (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
73. CA Inc CA (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
74. Calamos Asset Mgmt Inc CI A CLMS (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
75. Conagra Foods Inc CAG (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
76. Consolidated Communications Hldgs CNSL (IND EI)		None	J	T	Buy	12/19/14	J		
77. Darden Restaurants Inc DRI (IND EI)		None			Buy	02/12/14	J		
78. Darden Restaurants Inc DRI (IND EI)		None			Sold	03/14/14	J		
79. Diebold Inc DBD (IND EI)	A	Dividend	J	T	Buy	03/14/14	J		
80. Duke Realty Corp DRE (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
81. Dupont Fabros Technology Inc DFT (IND EI)	A	Dividend	J	T	Buy	12/19/14	J		
82. Garmin Ltd Shs GRMN (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
83. Genuine Parts Co GPC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
84. Halyard Health Inc (Spin off from Kimberly Clark)	A	Distribution			Spinoff (from line 88)	11/06/14	J		See Note - Pt. VIII
85. Halyard Health Inc		None			Sold	12/19/14	J		

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86. HCP Inc HCP (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
87. Integrys Energy Grp TEG (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
88. Kimberly Clark KMB (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
89. Kinder Morgan Inc Del KMI (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
90. Mattel Inc MAT (IND EI)	A	Dividend			Buy	02/12/14	J		
91. Mattel Inc MAT (IND EI)		None			Sold	07/18/14	J		
92. Meridian Bioscience Inc VIVO (IND EI)	A	Dividend			Buy	02/12/14	J		
93. Meridian Bioscience Inc VIVO (IND EI)		None			Sold	07/18/14	J		
94. Merck & Co MRK (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
95. MFA Finl Inc MFA (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
96. Microchip Technology MCHP (IND EI)	A	Distribution	J	T	Buy	02/12/14	J		
97. MVC Cap Inc MVC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
98. Northrop Grumman NOC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
99. One Gas Inc OGS (IND EI)	A	Dividend	J	T	Buy	03/14/14	J		
100. Oneok Inc OKE (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
101. PDL Biopharma PDLI (IND EI)		None	J	T	Buy	12/19/14	J		
102. Paychex Inc PAYX (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		

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☐ 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)
103. Pengrowth Energy Corp PGH (IND EI)		None	J	T	Buy	12/19/14	J		
104. Pepco Holdings POM (IND EI)	A	Dividend			Buy	02/12/14	J		
105. Pepco Holdings POM (IND EI)		None			Sold	07/18/14	J		
106. Pfizer Inc PFE (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
107. Realty Income Corp O (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
108. Reynolds Amern Inc RAI (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
109. RPM Intl Inc RPM (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
110. Science Applications Intl Corp SAIC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
111. Southern Co (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
112. Spectra Energy Corp SE (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
113. Sturn Ruger RGR (IND EI)	A	Dividend			Buy	02/12/14	J		
114. Sturn Ruger RGR (IND EI)		None			Sold	12/12/14	J		
115. Universal Health Rlty Income UHT (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
116. Williams Cos Inc WMB (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
117. WP Carey Inc WPC (IND EI)	A	Dividend	J	T	Buy	02/12/14	J		
118. Vanguard Institutional Index Fund Plus	A	Dividend	J	T		09/24/14			See Note - Pt. VIII
119.									

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)

120.									
121.									
122.									
123.									
124.									
125.									

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

II. AGREEMENTS -

I. Deferred Compensation Plan - I am no longer contributing or participating in the plan. Administrators will hold previous contributions pursuant to an irrevocable election.

Part II, Line 2 and Part VI, Line 40 on last year's FDR: Funds from State University Retirement System were withdrawn. No funds remain.

VII. INVESTMENTS and TRUSTS --

Pt. VII, Lines 38-118: Lord Abbott Large Cap Core (Line 38) exchanged for Vanguard Institutional Index Fund Plus (Line 118). This was an administrative action due to the former being dropped from the program.

Pt. VII, Line 84: Halyard Health was spun off from Kimberly Clark (Line 88). The account received 5 shares and \$23.91 cash distribution in lieu of fractional shares on 11/6/2014. The fund was sold on 12/19/14.

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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/ **David G. Bernthal**

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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