

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

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

1. Person Reporting (Last name, First name, Middle initial) Herndon, David R	2. Court or Organization Southern District of Illinois	3. Date of Report 4/23/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5. ReportType (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address United States Courthouse 750 Missouri Ave East St. Louis, Illinois	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	

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. Sign on last page.

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ **NONE** - (No reportable positions.)

COPY

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Trust #1, #2, #3, #4, and #5
2. Board of Visitor's	Southern Illinois University School of Law

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.	

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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.)DATESOURCE AND TYPEGROSS INCOME
(yours, not spouse's)1.

_____**B. Spouse's Non-Investment Income** - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☐ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE1.

_____**IV. REIMBURSEMENTS** -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1.

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

☒ **NONE** - (No such reportable gifts.)

SOURCE

DESCRIPTION

VALUE

1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☒ **NONE** - (No reportable liabilities.)

CREDITOR

DESCRIPTION

VALUE CODE

1.

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. Bank of Edwardsville Direct checking	A	Interest	J	T					
2. Bank of Edwardsville Premium checking account	A	Interest	J	T					
3. Bank of Edwardsville Prime investor/checking	A	Interest	J	T					
4. Community Educ FCU 2	A	Interest	J	T					
5. IRA Account Bear Stearns Brokerage IRA account	D	Dividend	M	T					specific fnds listed below
6. -(IRA) Royal Bank Scotland					buy	11-12	J		
7. -(IRA) Standard & Poors Depository S P D R S									
8. -(IRA) Dreyfus General Money Market Account (IRA)									
9. -(IRA) Flaherty & Crumline pfd Income Fd					buy	11-12	J		
10. -(IRA) High Income Opportunity fund					sell	12-16	K		
11. -(IRA) Managed High Income Portfolio									
12. -(IRA) Salomon Brothers 2003 Worldwide Dollar									
13. -(IRA) Senior High Income Portfolio					sell	11-19	K	A	
14. Bear Stearns Brokerage Account									assets listed below
15. -Dreyfus General Money Market Fund (B)	A	Interest	K	T					
16. -Illinois State G/O College svgs bds zero cpn oid 8/1/03	A	Interest			redemption	08-01	K		
17. -Ohio St Pub FACS copmran Hghr Ed mun bd 11/01/2010	A	Interest	K	T					
18. -State Univ Retrmt Sys IL Spl rev zero cpn mun bond 10/1/03	A	Interest			redemption	10-01	J		

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 = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
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19. - High Income Opportunity Fund	A	Dividend			buy	05-08	J		see below for sale in same yr.
20. - High Income Opportunity Fund					sell	12-16	J		
21. - Cohen & Steers Total Return Realty FD	A	Dividend	K	T	buy	12-19	K		
22. - Flaherty & Crumrine PFD Income Opportunity FD	A	Dividend	J	T	buy	12-19	J		
23. - Salomon Brothers 2008 Worldwide Fd	A	Dividend	J	T	buy	05-08	J		
24. - Corporate High Yield Fund	A	Dividend			buy	05-08	J		see below for sale in same yr.
25. - Corporate High Yield Fund					sell	10-07	J	A	
26. TRUST #1 Bear Stearns Brokerage Account	G	div & int	P1	T					trust assets listed below
27. - Dreyfus General Money Market Fund									
28. - Baltimore MD Convention Ctr Rev Rfdg BEO OID mun bond									
29. - Birmingham ALA Wtrwkd & Swr OID 1/1/2020									
30. - Chicago IL Motor Fuel Tax Rev Rfdg									
31. - Clear Lake City Tex Wtr Auth GO Rfdg mun bond									
32. - Dallas TX Indpt Sch Dist GO Rfdg Psf Gtd 8/15/02									
33. - E. Chicago Ind MultiSch GO Bldg Corp Rfdg mun bond					redemption	01-15	L		
34. - FL St Div Bd Fin Dept Rev Genl Svcs Rev Env Protn mun									
35. - Fort Bend TEX Indpt Sch Dist 02/15/2006 mun bond									
36. - Hawaii State GO Rfdg Ser Co 03/01/2008									

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37. - Hoffman Estates IL Tax Inc 11/15/2009									
38. - Illinois State GO 12/01/2003					redemption	04-01	M		
39. - Illinois St GO Rev mun bond 4/1/2005					redemption	12-01	L		
40. - IL Dev Fin Auth Pollution Rev Rfdg Comwlth EdBEO mun									
41. - Jacksonville Fla Port Auth Rev Arpt Rev Rfdg mun bond					redemption	10-01	M	B	
42. - Lewis Cnty Wash Pub Util Dist					buy	11-25	M		
43. - Long Island Pwr Auth					buy	05-13	M		
44. - MO St Health & Edl Facs Rev Rfdg StLU BEO Oid mun bond									
45. - Kansas City MO GO Zoo Impt 10/01/2003					redemption	10-01	L		
46. - Phoenix Ariz Rfdg Ser B ID mun bond 7/01/2016					redemption	07-01	M		
47. - Puerto Rico Muni Fin Agy Rev Fa Ser 99A BEO mun bond									
48. - Puerto Rico Commonwealth GO Pub Impt 7/1/2010									
49. - Puerto Rico Mun Fin Agy GO Ser A 8/01/2011									
50. - St Louis Cnty MO Rfdg & Impt GO SerB BEO OID mun bond					redemption	02-03	L		
51. - Texas St Tex Pub Fin Auth SerB GO AO BEO OID mun bond									
52. - Wayne Charter Cnty Mich Arpt Rev Detroit metro BEO mun									
53. - Abbott Laboratories cmn									
54. - American Express									

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
55. - American International Group									
56. - American International Group					buy	02-11	L		
57. - American International Group					part. Sell	03-24	L	C	
58. - Automatic Data Processing Inc. cmn									
59. - Automatic Data Processing Inc. cmn					buy	03-26	K		
60. - Automatic Data Processing Inc. cmn					part. Sell	12-24	K		
61. - Citigroup Inc cmn									
62. - Chevron Texaco Corp									
63. - Cisco Systems Inc. cmn									
64. - Coca Cola Co									
65. - Call Coca Cola Co Jan 060					expired	01-22	J	B	
66. - Coca Cola Co					buy	07-30	K		
67. - Coca Cola Co					part. Sell	10-10	K	C	
68. - Debt Strategies Fd. Inc					sell	01-31	K		
69. - EMC Corp-Mass									
70. - Exxon Mobil					buy	05-13	M		
71. - General Electric Co									
72. - HCA Inc					buy	04-15	L		

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73. - Hewlett Packard Co.					buy	11-21	K		
74. - Home Depot Inc cmn									
75. - Home Depot Inc cmn					buy	01-02	K		
76. - Home Depot Inc. cmn					part. Sell	12-24	K		
77. - Call Home Depot					buy	07-14	J		
78. - Call Home Depot					expired	08-20	J	B	
79. - Intel Corp cmn									
80. - Intel Corp cmn					buy	05-13	J		
81. - Kinder Morgan Energy Partners									
82. - Kinder Morgan Energy Partners					part. Sell	05-13	K	E	
83. - MBNA Corp cmn									
84. - Medcohealth Solutions					spin-off	08-25	J		see below for sale in same yr.
85. - Medcohealth Solutions					sell	08-29	J		
86. - Metlife Inc.									
87. - Merck & Co Inc. cmn									
88. - Merck & Co Inc cmn					part. Sell	12-24	K		
89. - Microsoft Corp cmn									stock split 02- 21-2003
90. - Microsoft Corp cmn					part. Sell	12-24	K		

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91. - Nasdaq shares					sell	09-15	L	E	
92. - Northern Trust Corp cmn									
93. - Northern Trust Corp cmn					buy	03-26	K		
94. - Northern Trust Corp cmn					part. Sell	04-10	K	B	
95. - Pfizer Inc. cmn									
96. - Unilever PLC									
97. - Viacom Inc-CI B cmn									
98. - Corporate High Yield Fund III Inc					sell	12-01	K		
99. - Corporate High Yield Fund Inc					sell	10-10	K	A	
100. - High Income Opportunity Fund					sell	12-18	K		
101. - Managed High Income Portfolio									
102. - Salomon Brothers High Income Fund II Inc.					sell	10-31	K	C	
103. - Salomon Brothers 2008 Worldwide FD					buy	02-07	K		
104. TRUST #2 Bear Sterns Brokerage Account	C	Dividend	M	T					assets detailed below
105. -Dreyfus General Money Market Fund B									
106. -Abbott Laboratories									
107. -American Express Company									
108. -American International Group									

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109. -American International Group					buy	05-28	J		
110. -Automatic Data Processing Inc					buy	05-08	J		
111. -Citigroup Inc									
112. -ChevronTexaco Corp									
113. -ChevronTexaco Corp					buy	05-28	J		
114. -Cisco Systems Inc									
115. -Coca Cola Co									
116. -Exxon Mobil Corp					buy	05-08	J		
117. -General Electric Co									
118. -HCA Inc					buy	05-08	J		
119. -Hewlett Packard Company					buy	11-21	J		
120. -Home Depot					buy	01-02	J		
121. -Intel Corp									
122. -Intel Corp					buy	05-28	J		
123. -Kinder Morgan Energy Partners LTD partnership									
124. -MBNA Corp									
125. -MedcoHealth Solutions					spin-off	08-20	J		see below for sale in same yr.
126. -MedcoHealth Solutions Inc					sell	08-26	J	A	

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127. -Metlife					buy	05-08	J		
128. -Merck & Co Inc									
129. -Microsoft Corp									stock split 02- 21-2003
130. -Nasdaq 100 Shares QQQ					buy	05-28	J		see below for sale in same yr.
131. -Nasdaq 100 Shares QQQ					sell	09-10	J	B	
132. -Northern Trust Corp					buy	05-28	J		
133. -Pfizer Inc									
134. -Pfizer Inc					buy	05-28	J		
135. -Unilever PLC									
136. TRUST #3 Bear Sterns Securities Corp	C	Dividend	- N	T					assets detailed below
137. -Dreyfus General Money Market Fund CI B									
138. -Abbott Laboratories									
139. -American Express Company									
140. -American International Group									
141. -American International Group					buy	05-28	J		
142. -Automatic Data Processing Inc.					buy	05-08	J		
143. -Citigroup Inc									
144. -ChevronTexaco Corp									

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 = \$250,000-\$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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Name of Person Reporting
Herndon, David R

Date of Report
4/23/2004

VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
145. -ChevronTexaco Corp					buy	05-28	J		
146. -Cisco Systems Inc									
147. -Coca Cola Co									
148. -Exxon Mobil Corp					buy	05-08	J		
149. -General Electric									
150. -HCA Inc					buy	05-08	J		
151. -Hewlett Packard Co					buy	11-21	J		
152. -Home Depot Inc					buy	01-02	J		
153. -Intel Corp									
154. -Intel Corp					buy	05-28	J		
155. -Kinder Morgan Energy Partners LTD partnership									
156. -MBNA Corp									
157. -MedcoHealth Solutions Inc					spin-off	08-25	J		see below for sale in same yr.
158. -MedcoHealth Solutions Inc					sell	08-26	J	A	
159. -Metlife Inc					buy	05-08	J		
160. -Merck & Co Inc									
161. -Microsoft Corp									stock split 02- 21-2003
162. -Nasdaq  Shares QQQ					buy	05-28	J		

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
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Name of Person Reporting
Herndon, David R

Date of Report
4/23/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
163. -Nasdaq  Shares QQQ					sell	09-10	J	B	
164. -Northern Trust Corp					buy	05-28	J		
165. -Pfizer Inc									
166. -Pfizer Inc.					buy	05-28	J		
167. -Unilever PLC									
168. TRUST #4 Bear Sterns Brokerage Account	A	Dividend	L	T					assets detailed below
169. -Dreyfus General Money Market Fund B									
170. -Standard & Poors Depository Receipts (SPDRS)									
171. -Standard & Poors Midcap 400 Dep Rcpts (midcap SPDRS)									
172. -Goldman Sachs Capital Growth Fund CI A					sell	01-29	J		
173. -Sector Spdr Trust-Utilities-XLU					buy	01-30	J		
174. -Sector Spdr Trust-Industrial-XLI					buy	01-30	J		
175. -Sector Spdr Trust-Technology-XLK					buy	01-30	J		
176. -Sector Spdr Trust-Financial-XLF					buy	01-30	J		
177. -Sector Spdr Trust-Energy-XLE					buy	01-30	J		
178. -Select Sector Spdr Fund-XLY					buy	01-30	J		
179. -Select Sector Spdr Fund - Health Care - XLV					buy	01-30	J		
180. -Select Spdr Trust-Consumer Staples-XLP					buy	01-30	J		

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	
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Name of Person Reporting

Hemdon, David R

Date of Report

4/23/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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)	If not exempt from disclosure			
	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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
181. -Select Sector Spdr Fund-Materials XLB					buy	01-30	J		
182. TRUST #5 Bear Stearns Brokerage Account	A	Interest	J	T					Asset detailed below.
183. -Dreyfus General Money Market Account					buy	12-23	J		

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
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Herndon, David R

Date of Report

4/23/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

NONE

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

Date May 6, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App., § 104.)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544