

UNITED STATES SENATE  
COMMITTEE ON THE JUDICIARY

QUESTIONNAIRE FOR JUDICIAL NOMINEES

PUBLIC

1. **Name**: State full name (include any former names used).

Nancy Jo Rosenstengel (maiden name: Nancy Jo Niemeier)

2. **Position**: State the position for which you have been nominated.

United States District Judge for the Southern District of Illinois

3. **Address**: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

United States District Court  
750 Missouri Avenue  
East St. Louis, Illinois 62201

Residence: Belleville, Illinois

4. **Birthplace**: State year and place of birth.

1968; Alton, Illinois

5. **Education**: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

1990-1993, Southern Illinois University School of Law; J.D., (*cum laude*), 1993

1986-1990, University of Illinois; B.A., (*cum laude*), 1990

Summer 1988, Lewis and Clark Community College; no degree awarded

6. **Employment Record**: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

2009 – present  
United States District Court  
Southern District of Illinois  
750 Missouri Avenue  
East St. Louis, Illinois 62201  
Clerk of Court

1998 – 2009  
Honorable G. Patrick Murphy, District Judge  
United States District Court  
Southern District of Illinois  
750 Missouri Avenue  
East St. Louis, Illinois 62201  
Law Clerk (Career)

August – December 2004  
Southwestern Illinois College  
2500 Carlyle Avenue  
Belleville, Illinois 62221-5899  
Legal Research and Writing Instructor (Paralegal Studies)

1993 – 1998  
Sandberg, Phoenix & von Gontard  
600 Washington Avenue  
15th Floor  
St. Louis, Missouri 63101  
Associate

Spring Semester 1993  
Southern Illinois University School of Law  
1150 Douglas Drive  
Carbondale, IL 62901  
Teaching Assistant (Moot Court Board President) for Professor Eugene Basanta

Summer 1992  
Sandberg, Phoenix & von Gontard  
600 Washington Avenue  
15th Floor  
St. Louis, Missouri 63101  
Summer Associate

Summer 1991  
Madison County State's Attorney's Office (William R. Haine)  
157 North Main Street, Suite 402  
Edwardsville, Illinois 62025  
Summer Law Clerk

Fall Semester 1992, Spring Semester 1992, Fall Semester 1991  
Southern Illinois University School of Law  
1150 Douglas Drive  
Carbondale, Illinois 62901  
Teaching Assistant for Professor Mark Lee (Fall Semester 1992)  
Teaching Assistant for Professor Thomas McAfee (Spring Semester 1992)  
Teaching Assistant for Professor Maria Frankowska (Fall Semester 1991)

1987 – 1992  
Amoco Petroleum Additives Company (no longer in business)  
Wood River, Illinois 62095  
Clerical Assistant (during summers and holiday breaks)

Other Affiliations (uncompensated):

2007 – 2009  
Mascoutah Elementary School Parent-Teacher Organization  
533 North Sixth Street  
Mascoutah, Illinois 62258  
Secretary

1993 – 1998  
Southern Illinois University School of Law Alumni Association  
1150 Douglas Drive  
Carbondale, Illinois 62901  
Secretary

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I did not serve in the military. I was not required to register for selective service.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

National Association of Women Lawyers Award for academic achievement, tenacity, and drive, contributions to the advancement of women in society, promotion of issues and concerns of women in the legal profession and an expectation to continue to contribute to the advancement of women in society, and respect of the faculty (1993)

Donny J. Schmeder Memorial Scholarship for pursuing a career related to health law and for being from southern Illinois (1993)

Judge Richard E. Richman Award for character, verbal skills, humanity, and compassion (1993)

Lincoln's Inn Award for outstanding leadership and service to the law school and an expectation of continued leadership and service to the law school and the legal profession (1993)

Southern Illinois University School of Law, Moot Court Board President (1993)

Southern Illinois University Law Journal, Casenote & Comment Editor (1992 – 1993)

Southern Illinois University School of Law National Moot Court Team (1991 – 1993)

Southern Illinois University Law Journal, Best Casenote Award (1992)

Southern Illinois University Law Journal (1991 – 1992)

Freshman Moot Court Finalist, Southern Illinois University School of Law (1991)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

Madison County Bar Association  
St. Clair County Bar Association  
East St. Louis Bar Association  
Seventh Circuit Bar Association  
Illinois State Bar Association  
American Bar Association

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Illinois, 1993  
Missouri, 1994 (inactive)

There have been no lapses in membership, although as indicated, my membership in Missouri is inactive.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

Eastern District of Missouri, 1993  
Southern District of Illinois, 1994

There have been no lapses in membership.

**11. Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Federal Court Clerks Association (2009 – present)

Judge Joseph F. Cunningham Fellowship Program (2012 – present)

Mascoutah Community Unit School District #19 Ad Hoc Policy Review  
Committee (2012 – present)

Mascoutah Elementary School Parent-Teacher Organization (2004 – 2009)  
Secretary (2007 – 2009)

Mascoutah High School After Prom Committee (2013 – present)

Mascoutah High School Music Boosters (2012 – present)  
Co-Coordinator (2013 – present)

Mid-America Medical District Commission Advisory Council (2009 – 2010)

National Association of Court Managers (2009 – present)

National Association of Professional Women (2011 – 2013)

Pi Beta Phi Women's Fraternity (1987 – present)

Southern Illinois University School of Law 2013 Class Reunion Committee  
(2013)

Southwestern Illinois College Paralegal Advisory Board (2010 – 2013)

Southern Illinois University School of Law Alumni Association (1993 – present)  
Secretary (1993 – 1998)

YMCA of Southwest Illinois (2002 – present)  
Lamplighter's Society

- b. The American Bar Association's Commentary to its Code of Judicial Conduct states that it is inappropriate for a judge to hold membership in any organization that invidiously discriminates on the basis of race, sex, or religion, or national origin. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

Membership in the National Association of Professional Women and Pi Beta Phi Women's Fraternity remains restricted to women. To my knowledge, none of the organizations listed above currently discriminates or formerly discriminated on the basis of race, sex, religion, or national origin, either through formal membership requirements or the practical implementation of membership policies.

**12. Published Writings and Public Statements:**

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

Note, *Defining "Prompt" Under Gerstein v. Pugh: A Bright-Line Rule*, 17 S.Ill.U. L.J. 637 (1993) (published in name of Nancy J. Niemeier).

Comment, *The Right to Trial by Jury in Copyright Infringement Suits Seeking Statutory Damages*, 17 S.Ill.U. L.J. 135 (1992) (published in name of Nancy J. Niemeier).

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

As the Clerk of Court, I have contributed to the preparation of court plans and internal administrative policies. Court plans include the Court Reporter Management Plan, the Criminal Justice Act Plan, the Plan for the Random Selection of Jurors, the Plan for the Administration of the District Court Fund, and the Transcript Policy. I also assisted with drafting the current version of the district court's Local Rules. Copies supplied.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

None.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

The following list includes seminars and sessions that I have identified from my files, personal recollections, and searching public databases and the Internet.

August 23, 2013: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on Medical Issues in Prisoner Civil Rights Litigation, sponsored by the United States District Court for the Southern District of Illinois, Collinsville, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

June 7, 2013: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on "Anatomy of a Prisoner Civil Rights Case," sponsored by the United States District Court for the Southern District of Illinois, Collinsville, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

April 19, 2013: Informal Remarks to Prospective Law Students, Southern Illinois University School of Law, Carbondale, Illinois. I spoke to a group of potential new students about my decision to attend Southern Illinois University School of Law and my law school experience in general. I have no notes, transcript, or recording. The address for the Southern Illinois University School of Law is 1150 Douglas Drive, Carbondale, Illinois 62901.

March 22, 2013: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on “Exhaustion of Administrative Remedies in Prisoner Civil Rights Litigation,” sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

February 25-27, 2013: Question and Answer session, Central and East European Law Initiative Institute. During this three day period, I logged onto an exchange website from my office in East St. Louis, Illinois, and answered questions posed by participants in the Central & Eastern European Judicial Exchange Network about best practices to streamline case management. The questions and my responses were translated. Copy supplied.

January 25, 2013: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on “Medical Issues in Prisoner Civil Rights Litigation,” sponsored by the United States District Court for the Southern District of Illinois, Fairview Heights, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

October 26, 2012: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on “Anatomy of a Prisoner Civil Rights Case,” sponsored by the United States District Court for the Southern District of Illinois, Collinsville, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

September 24-25, 2012: Welcoming Remarks, Conference on Emergency Preparedness, sponsored by the United States District Court for the Southern District of Illinois for other district courts in the Seventh Circuit, St. Louis, Missouri. As Clerk of Court, I welcomed participants to the conference, provided basic information about the program and facility, and introduced speakers. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

May 18, 2012: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on Exhaustion of Administrative Remedies in Prisoner Civil Rights Litigation, sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

April 27, 2012: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on Medical Issues in Prisoner Civil Rights Litigation, sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

March 8, 2012: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on “Anatomy of a Prisoner Civil Rights Case,” sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

June 10, 2011: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminar on “Anatomy of a Prisoner Civil Rights Case,” sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As the Clerk of Court, I welcomed participants to the court-sponsored seminar and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

September 16-17, 2010: Welcoming Remarks and Discussion of District Court Procedures for Appointed Counsel in Prisoner Civil Rights Cases, Continuing Legal Education seminars on Prisoner Civil Rights Litigation, sponsored by the United States District Court for the Southern District of Illinois, Carbondale, Illinois (September 16) and East St. Louis, Illinois (September 17). As the Clerk

of Court, I welcomed participants to the court-sponsored seminars and explained various court procedures. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

December 11, 2009: Welcoming Remarks, Naturalization Ceremony for the United States District Court for the Southern District of Illinois, Belleville, Illinois. Transcript supplied.

October 2009: Panel Discussion, Continuing Legal Education program on Prisoner Civil Rights Litigation, sponsored by the United States District Court for the Southern District of Illinois, East St. Louis, Illinois. As Clerk of Court, I participated in a panel discussion concerning matters of interest to lawyers appointed by the court to represent indigent litigants in civil rights cases. I have no notes, transcript, or recording. The address for the United States District Court for the Southern District of Illinois is 750 Missouri Avenue, East St. Louis, Illinois 62201.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, October 30, 2013. Copy supplied.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, September 2013. Copy supplied.

Bill Grimes, *Fed Court Officials Warn of Jury Scam*, Effingham Daily News, August 20, 2013. Copy supplied.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, June 2013. Copy supplied.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, April 2013. Copy supplied.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, February 4, 2013. Copy supplied.

Press Release announcing Congressional Swearing-in Ceremony, United States District Court for the Southern District of Illinois, January 17, 2013. Copy supplied.

Mark Karlinsky, *Murphy Reflects on 16 Years in U.S. Judiciary Downstate*, Chicago Daily Law Bulletin, January 16, 2013. Copy supplied.

Press Release announcing Naturalization Ceremony, United States District Court for the Southern District of Illinois, November 5, 2012. Copy supplied.

“Testimonial,” Southern Illinois University School of Law Alumni Profiles, 2011. Copy supplied.

David van den Berg, *Zion Lutheran Opens \$4.5 Million Addition to Church, School*, Belleville News-Democrat, May 6, 2002. Copy supplied.

13. **Judicial Office:** State (chronologically) any judicial offices you have held, including positions as an administrative law judge, whether such position was elected or appointed, and a description of the jurisdiction of each such court.

I have not held judicial office.

- a. Approximately how many cases have you presided over that have gone to verdict or judgment? \_\_\_\_\_

- i. Of these, approximately what percent were:

|                       |                     |
|-----------------------|---------------------|
| jury trials:          | _____%              |
| bench trials:         | _____% [total 100%] |
| civil proceedings:    | _____%              |
| criminal proceedings: | _____% [total 100%] |

- b. Provide citations for all opinions you have written, including concurrences and dissents.
- c. For each of the 10 most significant cases over which you presided, provide: (1) a capsule summary of the nature the case; (2) the outcome of the case; (3) the name and contact information for counsel who had a significant role in the trial of the case; and (3) the citation of the case (if reported) or the docket number and a copy of the opinion or judgment (if not reported).
- d. For each of the 10 most significant opinions you have written, provide: (1) citations for those decisions that were published; (2) a copy of those decisions that were not published; and (3) the names and contact information for the attorneys who played a significant role in the case.
- e. Provide a list of all cases in which certiorari was requested or granted.
- f. Provide a brief summary of and citations for all of your opinions where your decisions were reversed by a reviewing court or where your judgment was

affirmed with significant criticism of your substantive or procedural rulings. If any of the opinions listed were not officially reported, provide copies of the opinions.

- g. Provide a description of the number and percentage of your decisions in which you issued an unpublished opinion and the manner in which those unpublished opinions are filed and/or stored.
  - h. Provide citations for significant opinions on federal or state constitutional issues, together with the citation to appellate court rulings on such opinions. If any of the opinions listed were not officially reported, provide copies of the opinions.
  - i. Provide citations to all cases in which you sat by designation on a federal court of appeals, including a brief summary of any opinions you authored, whether majority, dissenting, or concurring, and any dissenting opinions you joined.
14. **Recusal:** If you are or have been a judge, identify the basis by which you have assessed the necessity or propriety of recusal (If your court employs an "automatic" recusal system by which you may be recused without your knowledge, please include a general description of that system.) Provide a list of any cases, motions or matters that have come before you in which a litigant or party has requested that you recuse yourself due to an asserted conflict of interest or in which you have recused yourself sua sponte. Identify each such case, and for each provide the following information:

I have never been a judge.

- a. whether your recusal was requested by a motion or other suggestion by a litigant or a party to the proceeding or by any other person or interested party; or if you recused yourself sua sponte;
- b. a brief description of the asserted conflict of interest or other ground for recusal;
- c. the procedure you followed in determining whether or not to recuse yourself;
- d. your reason for recusing or declining to recuse yourself, including any action taken to remove the real, apparent or asserted conflict of interest or to cure any other ground for recusal.

15. **Public Office, Political Activities and Affiliations:**

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

I have not held public office. I have had no unsuccessful candidacies for public office or unsuccessful nominations for appointed office.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I have not held a membership or an office in any political party or election committee.

16. **Legal Career:** Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

From May 5, 1998, to September 30, 2009, I served as a Career Law Clerk to District Judge G. Patrick Murphy in the United States District Court for the Southern District of Illinois.

- ii. whether you practiced alone, and if so, the addresses and dates;

I have never practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

1993 – 1998  
Sandberg, Phoenix, and von Gontard, P.C.  
600 Washington Avenue, 15th Floor  
St. Louis, Missouri 63101  
Associate

1998 – 2009  
Honorable G. Patrick Murphy, District Judge  
United States District Court  
Southern District of Illinois  
750 Missouri Avenue  
East St. Louis, Illinois 62201  
Law Clerk (Career)

2009 – present  
United States District Court  
Southern District of Illinois  
750 Missouri Avenue  
East St. Louis, Illinois 62201  
Clerk of Court

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

I have not served as a mediator or arbitrator in alternative dispute resolution proceedings.

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

From 1993 to 1998, I worked for the law firm of Sandberg, Phoenix, and von Gontard as a litigation associate. I practiced in the areas of medical malpractice, products liability, employment discrimination, and maritime litigation. I handled the full range of litigation practice, including client contact, depositions, motion practice, court appearances, trial preparation, settlement negotiations, and trial. I appeared frequently in the City of St. Louis Circuit Court, state courts in Illinois and Missouri, and federal courts, including the Southern District of Illinois, Eastern District of Missouri, and Western District of Kentucky.

From 1998 to 2009, I served as a Career Law Clerk to District Judge G. Patrick Murphy. As such, I assisted Judge Murphy in every aspect of civil and criminal cases before the court, including, but not limited to, evaluation of the court's subject matter jurisdiction, pre-trial motions, motions to remand, motions to dismiss, motions for summary judgment, evidentiary rulings before and during trial, jury instructions, post-trial motions, criminal changes of plea and sentencing.

Since October 1, 2009, I have served as Clerk of Court in the United States District Court for the Southern District of Illinois. In this position, I manage the operational and administrative duties of the court and ensure compliance with statutory requirements. This includes developing court policies, plans, and procedures, managing case processing, jury operations, and other administrative matters.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

At Sandberg, Phoenix, and von Gontard, my typical clients included hospitals, insurance companies, automobile manufacturers, casinos, barge companies, retailers, and others in need of defense against negligence and products liability claims.

As a Career Law Clerk and as the Clerk of Court, I had no clients.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

100% of my practice at Sandberg, Phoenix, and von Gontard was in litigation. During that time, I appeared in court frequently. As a Career Law Clerk, I handled or oversaw cases before the district court. The majority of the cases filed were resolved through settlement or summary judgment, but I participated in at least 40 jury trials and several bench trials. Below, I have provided estimates based on my practice at Sandberg, Phoenix, and von Gontard. As a Career Law Clerk, my experience was 100% federal and evenly divided between civil and criminal proceedings.

- i. Indicate the percentage of your practice in:

- |                             |     |
|-----------------------------|-----|
| 1. federal courts:          | 50% |
| 2. state courts of record:  | 50% |
| 3. other courts:            | 0%  |
| 4. administrative agencies: | 0%  |

- ii. Indicate the percentage of your practice in:

- |                          |      |
|--------------------------|------|
| 1. civil proceedings:    | 100% |
| 2. criminal proceedings: | 0%   |

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I tried two cases to verdict in a jury trial and had one bench trial as associate counsel at Sandberg, Phoenix, and von Gontard. I also arbitrated one case as solo counsel in front of a St. Clair County Arbitration Panel. In addition to this trial experience as an advocate, I assisted with more than 40 jury trials during my federal clerkship with District Judge G. Patrick Murphy. This experience included researching evidentiary issues, analyzing the evidence, and preparing the jury instructions for the court and parties in civil and criminal cases. The civil cases involved a variety of claims, some based on the court's federal question jurisdiction and others on the court's diversity of citizenship jurisdiction. In addition, I participated in approximately five bench trials during this same period

and drafted the findings of fact and conclusions of law following the trial. Below, I have provided an estimate based on my trial experience at Sandberg, Phoenix, and von Gontard.

i. What percentage of these trials were:

- |              |     |
|--------------|-----|
| 1. jury:     | 67% |
| 2. non-jury: | 33% |

e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have not practiced before the Supreme Court of the United States.

17. **Litigation**: Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- the date of representation;
- the name of the court and the name of the judge or judges before whom the case was litigated; and
- the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

1. Dodds v. Western Kentucky Navigation, Case No. 94-130 (Circuit Court in Madison County, Illinois; Judge P.J. O'Neill); Dodds v. Western Kentucky Navigation, 697 N.E.2d 452 (Ill. App. Ct. 5th Dist. 1998); 1994-1998.

I represented Western Kentucky Navigation in this Jones Act case brought by a first mate against his employer, Western Kentucky Navigation. The plaintiff, Dodds, alleged that he sustained injuries to his back and arm when a line seized on a timberhead and then "shot," throwing Dodds into the steel deck of a barge while the tow was entering a lock. I assisted with the defense of the case on behalf of Western Kentucky Navigation. My participation in the case included all aspects of written discovery and depositions, motion practice, client and witness preparation, and trial, including witness examinations and cross-examinations. I also drafted and filed a third-party complaint against Occidental Chemical Corporation, the owner of the barge on which the plaintiff was injured. The jury found Dobbs to be 50% at fault and entitled to damages in the amount of \$100,000. After the trial court granted a setoff for the plaintiff's prior settlement with Occidental, judgment was entered against

Western Kentucky Navigation for \$0. The plaintiff appealed, and the Fifth District reversed. The case ultimately settled.

Co-counsel:

Ronald E. Fox  
(formerly at Sandberg, Phoenix & von Gontard, P.C.)  
Fox, Galvin LLC  
One South Memorial Drive  
12th Floor  
St. Louis, MO 63102  
314-588-7000

Plaintiff's counsel:

Morris Chapman (deceased)

Counsel for Third-Party Defendant, Occidental Chemical Corporation:

Robert W. Wilson  
1363 Niedringhaus Avenue,  
Granite City, IL 62040  
618-451-5558

2. Ellis v. Dr. Parich, Case No. 94-766 (Circuit Court Madison County, Illinois; Judge Phillip Kardis); (1994-1997).

I defended Dr. Parich in this medical malpractice case. The plaintiff alleged Dr. Parich negligently prescribed the antibiotic Erythromycin to her and that the medication caused a bowel obstruction. I assisted with the defense of Dr. Parich's case on behalf of the firm's client, Illinois State Medical Insurance Exchange. My participation included filing and responding to written discovery, conducting depositions, drafting, filing, and arguing motions, preparing the client and witnesses for trial, and trial, including direct and cross-examination of the parties, fact witnesses, and expert witnesses. Abbott Laboratories, the manufacturer of Erythromycin, was a co-defendant in the case, but was dismissed before trial on summary judgment. The jury returned a verdict in favor of Dr. Parich.

Co-counsel:

Peter von Gontard  
Sandberg, Phoenix & von Gontard, P.C.  
600 Washington Avenue  
15th Floor  
St. Louis, MO 63101  
314-231-3332

Plaintiff's counsel:

Burt Shostak  
8015 Forsyth Boulevard

St. Louis, MO 63105  
314-725-3200

Michael Ghidina  
112 South Hanley Road  
St. Louis, MO 63105  
314-726-6106

Counsel for co-defendant Abbott Laboratories:  
Deirdre Gallagher  
Foley & Mansfield  
1001 Highlands Plaza Drive West  
St. Louis, MO 63110  
314-925-5700

3. Taylor, et al. v. Casino Queen, Case No. 96-AR-474 (Circuit Court, St. Clair County, Illinois; Judge Robert LeChien); 1996.

I defended the Casino Queen in this arbitration case. The plaintiffs alleged that they were subjected to food poisoning at a breakfast buffet at the Casino Queen in East St. Louis, Illinois. I handled all investigations, written discovery, and depositions, and defended the Casino Queen at the arbitration. This included an opening statement, direct and cross examination of the witnesses, and a closing argument before the arbitration panel. Following the arbitration, judgment was entered in favor of the Casino Queen.

Plaintiffs' counsel:  
Lloyd Nolan  
225 South Meramec, Suite 512  
St. Louis, MO 63105  
314-725-1880

4. Hoggatt v. Alton Memorial Hospital, Case No. 94-L-1123 (Circuit Court in Madison County, Illinois; Judge Nicholas Byron); 1994-1998.

I represented Alton Memorial Hospital in this medical malpractice case. The plaintiff alleged that the emergency room staff at Alton Memorial Hospital failed to diagnose and properly treat a dissecting aortic aneurysm. I prepared the case for trial, including working extensively to retain, disclose, and prepare the defense expert witnesses. My responsibilities also included written discovery, depositions of the parties and witnesses, and motion practice. The case settled before trial.

Co-counsel:  
Ronald E. Fox  
(formerly at Sandberg, Phoenix & von Gontard, P.C.)  
Fox, Galvin LLC

One South Memorial Drive  
12th Floor  
St. Louis, MO 63102  
314-588-7000

Plaintiff's counsel:  
Thomas O. Falb  
603 Henry Street  
Alton, IL 62002  
618-462-1077

5. Kerr v. Toyota Motor Distributors, Inc., Case No. 95-4430-NKL (United States District Court, Western District of Missouri; District Judge Nanette Laughrey); 1995-1998.

I defended Toyota in this products liability action alleging negligent design of a seat in a Toyota Corolla. Mazda Motor Company of America was a co-defendant in the case. The plaintiff alleged she was injured by a Mazda vehicle in one accident and a Toyota vehicle in another. My involvement in the case included filing and responding to written discovery, conducting depositions, and attending discovery dispute conferences. In addition, I attended product inspections, conducted expert witness research, handled the discovery and disclosure of expert witnesses, and prepared witness outlines in anticipation of trial. Toyota settled with the plaintiff, and the case proceeded to trial against Mazda. In February 1998, a jury returned a verdict in favor of Mazda.

Co-counsel:  
G. Keith Phoenix  
Sandberg, Phoenix & von Gontard  
600 Washington Avenue  
15th Floor  
St. Louis, MO 63101  
314-231-3332

Plaintiff's counsel:  
William McDonald  
William H. McDonald & Associates, P.C.  
300 South Jefferson Avenue  
Springfield, MO 65806  
417-869-0581

Counsel for co-defendant Mazda:  
David L. Boman  
South & Associates, P.C.  
6363 College Boulevard, Suite 100

Overland Park, KS 66211  
913-825-4650

6. Little v. Western Kentucky Navigation, Case No. 93-1330 (Circuit Court of Madison County, Illinois; Judge Randall Bono and Judge George Moran); 1993-1997.

I defended Western Kentucky Navigation in this Jones Act negligence case filed by Little against her employer, Western Kentucky Navigation. I had primary responsibility for all discovery, motions, depositions, and trial preparation, including client and witness preparation and outlines for all direct and cross examinations. The case settled the day before trial was scheduled to begin. The plaintiff then alleged that her counsel had settled the case without her consent, and he was discharged. She obtained new counsel, the case was re-opened, and additional discovery was completed. The case was settled again before trial.

Plaintiff's counsel:  
Dennis Nalick (deceased)

Marc Parker  
Parker Law, P.C.  
2814 North Center Street  
Maryville, IL 62062  
618-288-6200

7. Neighbors v. Wolfson, M.D. (Missouri Court of Appeals, Eastern District, St. Louis, Missouri; Judge James Pudlowski); Neighbors v. Wolfson, 926 S.W.2d 35 (Mo. Ct. App. 1996); 1993-1996.

This was a medical malpractice case brought by Neighbors against Dr. Eli Wolfson alleging negligence during the birth of her child. I assisted with preparation of the appellate brief on behalf of Dr. Wolfson following the entry of judgment on his behalf in the City of St. Louis (prior to my involvement in the case). The Missouri Court of Appeals affirmed the judgment.

Co-counsel:  
Kathleen L. Pine  
Sandberg, Phoenix & von Gontard  
2015 West Main Street  
Suite 111  
Carbondale, IL 62901  
618-351-7200

Plaintiff's counsel:  
Art Muegler (deceased)

Donald Nangle  
1935 Marconi Avenue  
St. Louis, MO 63110  
314-781-9503

8. Hays v. Sears, Roebuck & Company, Case No. 95-L-51 (Circuit Court in Williamson County, Illinois; Judge William Wilson); 1995-1996.

I represented Sears, Roebuck & Company in this case where the plaintiff alleged that she was subjected to false imprisonment after she was questioned by loss prevention personnel at a Sears store in Marion, Illinois. I had primary responsibility for all pretrial matters, including client contact, interviews of defense witnesses, written discovery, pretrial motions, and depositions. Following written discovery and depositions, it was determined that the plaintiff was perpetrating fraud on Sears. Specifically, the plaintiff was acquiring discounted apparel from another retailer and returning it to Sears for a refund. When confronted with this evidence obtained during investigation and discovery, the plaintiff's counsel immediately withdrew from the case. The case was later voluntarily dismissed.

Co-counsel:  
Reed W. Sugg  
Sandberg, Phoenix & von Gontard  
600 Washington Avenue  
15th Floor  
St. Louis, MO 63101  
314-231-3332

Plaintiff's counsel:  
Michael Maurizio  
1508 West Main Street  
Marion, IL 62959  
618-998-1515

9. Odom v. Hospice of Southern Illinois, Case No. 96-4202-JPG-PMF (United States District Court, Southern District of Illinois, District Judge J. Phil Gilbert and Magistrate Judge Philip M. Frazier); 1996-1998.

I defended Hospice of Southern Illinois in this employment discrimination case brought by an employee of Hospice. My involvement included discovery conferences, propounding and responding to written discovery, conducting depositions of the parties and witnesses, and preparation of a motion for summary judgment. The case proceeded to trial after I left the firm. The jury returned verdicts in favor of Hospice on three counts and in favor of the plaintiff on one count. After post trial motions were filed, the court entered judgment in favor of plaintiff on one count and in favor of Hospice on three counts. Both parties appealed. Additional post trial motions were filed by Hospice and, while the case was on appeal to the Seventh

Circuit, the district court entered an order indicating it was inclined to grant Hospice's post trial motions. The case was remanded to the district court and ultimately judgment was entered in favor of Hospice.

Co-counsel:

Kenneth W. Bean  
Sandberg, Phoenix & von Gontard  
600 Washington Avenue  
15th Floor  
St. Louis, MO 63101  
314-231-3332

Plaintiff's counsel:

Patricia Hayes  
915 South Fourth Street  
Springfield, IL 62704  
217-753-1580

10. Dellarosa v. American Commercial Barge Line Company, Case No. 94-485-WDS (United States District Court, Southern District of Illinois; District Judge William D. Stiehl, Magistrate Judge Gerald B. Cohn); 1994-1996.

I represented American Commercial Barge Line Company in this Jones Act case where the plaintiff alleged he was injured during the course of his employment as an American Commercial Barge Line Company crew member. I had primary responsibility for all pretrial motions, written discovery, product inspections, and depositions. The case was settled at a settlement conference held by the court.

Co-counsel:

Ronald E. Fox  
(formerly at Sandberg, Phoenix & von Gontard, P.C.)  
Fox, Galvin LLC  
One South Memorial Drive  
12th Floor  
St. Louis, MO 63102  
314-588-7000

Counsel for Plaintiff:

Christopher Kuebler and Dennis O'Bryan  
O'Bryan, Baun  
401 South Old Woodward, Suite 450  
Birmingham, MI 48009  
248-258-6262

18. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not

involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

In addition to the matters described above, my practice at Sandberg, Phoenix, and von Gontard involved preparation of numerous other civil matters for trial, including motion practice, written discovery, discovery disputes, depositions, research and retention of expert witnesses, and trial preparation. Typical cases included products liability actions involving forklifts and automobiles, medical malpractice claims, Jones Act cases, and employment discrimination suits.

In addition to my practice at Sandberg, Phoenix, and von Gontard, I assisted with numerous civil and criminal hearings and trials as a Career Law Clerk to District Judge G. Patrick Murphy. I assisted Judge Murphy in every aspect of cases before the court, from the initial filing to the disposition of each case. I drafted orders, memoranda, and jury instructions in civil and criminal cases. This involved extensive research of the law and required knowledge of the Federal Rules of Civil and Criminal Procedure, as well as the court's local rules, administrative orders, policies, and procedures. It was Judge Murphy's practice to hold a hearing on every dispositive motion filed (including motions to remand, motions to transfer venue, motions for temporary restraining order and/or preliminary injunction, motions to dismiss, and motions for summary judgment). Before each hearing, I would review the pleadings, research the law, brief Judge Murphy on the issues presented, and suggest areas of inquiry with the attorneys. After each hearing, Judge Murphy and I would review the arguments made by each party, and I would draft a Memorandum and Order for Judge Murphy's final approval and filing.

In addition, I assisted Judge Murphy throughout bench and jury trials, researching legal issues as needed and drafting findings of fact and conclusions of law following bench trials. I attended the entire trial, starting with pre-trial conferences and jury selection. During jury trials, I was actively involved in preparation of the jury instructions and verdict forms in both civil and criminal cases. Specifically, I received proposed jury instructions and verdict forms before trial from the parties, and from those proposed documents, I would compile a packet of jury instructions and verdict forms based on the evidence presented at trial. It was my duty to draft appropriate instructions for the court to issue in light of the rulings and evidence presented at trial. Judge Murphy would review the packet of instructions I compiled with the parties informally and then hold a formal jury instruction conference. From time to time, questions would arise during jury deliberations, and it was my responsibility to advise the judge as to the applicable law.

As a Career Law Clerk, I also helped manage the judge's caseload daily, including with rulings on dispositive and non-dispositive issues. My work required research on a variety of legal issues relating to federal subject matter jurisdiction, claims, and rules of procedure, as well as the federal sentencing guidelines. Additionally, I drafted orders on motions to certify class actions, bankruptcy appeals, social security appeals, appeals from

rulings of magistrate judges, and habeas petitions. I also reviewed draft orders from the pro se law clerks, worked with them to finalize a draft for Judge Murphy's review and signature, and met with the pro se law clerks regularly to monitor prisoner cases on Judge Murphy's docket.

In criminal cases, I attended every hearing, including, but not limited to, change of plea hearings, pre-trial motion hearings, and sentencing hearings. During change of plea hearings, I would listen to the colloquy and ensure that all matters were properly covered with the defendant and the necessary elements stated on the record. Before a sentencing hearing, I would review the Presentence Investigation Report, research the objections, review the relevant case law, meet with the Probation Officer, and brief the judge on the issues before the hearing. During the hearing, I would ensure that all matters were addressed and research legal issues as they arose. This required extensive knowledge of the federal sentencing guidelines and the United States Supreme Court decisions interpreting them. In addition, when the Retroactive Crack Amendment to the Sentencing Guidelines was passed, I ensured that the cases where the amendment might apply were identified and counsel was appointed when appropriate. The judge was briefed on whether or not the defendant was eligible to receive a reduced sentence, and, where the defendant was deemed eligible, an order was entered granting the appropriate relief.

During the four years I have been Clerk of Court, I have also pursued various legal issues concerning procedural and administrative matters at the district court. Such issues include local rules, development of court plans, service of process, public access to court records, and federal appropriations law. My responsibilities also require frequent analysis regarding employment and jury selection matters as well as other general management duties concerning information technology, procurement, training, and financial operations for the district court (including judges and chambers staff). In addition, I have worked extensively to develop a panel of pro bono volunteers to represent indigent prisoner plaintiffs in civil rights litigation. As part of this effort, I have organized and facilitated numerous free continuing legal education seminars sponsored by the district court. Finally, I have implemented numerous changes related to the court's processing of civil prisoner cases, resulting in more efficient processing of the cases and reduced time from filing to disposition.

19. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I taught Legal Research and Writing to paralegal students at Southwestern Illinois College, in Belleville, Illinois, for one semester during the Fall 2004 semester. I have been unable to locate a copy of the Syllabus.

20. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business

relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

As an employee of the federal district court, I am a participant in the Federal Employees' Retirement System and have an interest in the federal Thrift Savings Plan. If confirmed, these funds will stay in the Plan. During my several months of employment by Southwestern Illinois College as a legal writing instructor, I also made contributions to the State Universities Retirement System of Illinois. If confirmed, the funds I contributed to the system will be withdrawn, and I will have no interest in the system. Other than these retirement funds, I do not expect to derive any deferred income or future benefits from any previous business relationships, professional services, firm memberships, former employers, clients, or customers.

21. **Outside Commitments During Court Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service with the court? If so, explain.

I have no plans, commitments, or agreements to pursue outside employment, with or without compensation, during my service to the court.

22. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached Financial Disclosure Report.

23. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

24. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

I will carefully review and address any real or potential conflicts in accordance with the Code of Conduct for United States Judges, as well as all applicable policies and procedures of the United States courts. I would recuse in cases involving my family, cases where my husband, Jon Rosenstengel, and/or his law

partner, Jerald J. Bonifield, are counsel of record, and cases involving companies in which I have a financial interest or an ongoing business relationship.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

If confirmed, I would handle any matter involving actual or potential conflicts of interest in conformity with the Code of Conduct for United States Judges and any other relevant statutes, ethical canons, and rules. I would use the district court's Case Management and Electronic Case Filing ("CM/ECF") program to identify conflicts by scheduling and reviewing daily reports. I would post a list of my financial conflicts on the court's website and personally review each case assigned to me immediately upon filing.

25. **Pro Bono Work**: An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each.

My employment with the district court, both as a Career Law Clerk and Clerk of Court, prohibits me from practicing law, except in very limited circumstances (Code of Judicial Conduct for Judicial Employees, Canon 4).

As a court employee, however, I have been active in the Joint Community Outreach Committee, a committee comprised of employees from all local federal agencies. Specifically, I was instrumental in development of a courthouse cookbook, which raised a substantial amount of money for the committee in 2005 (and repeated in 2012). I also spearheaded the effort to add the St. Vincent DePaul Soup Bus to the committee's activities and have personally served on the Soup Bus. In addition, I helped to organize a Christmas party for underprivileged children at the Christian Activity Center in East St. Louis, Illinois, in December 2012, and my entire family participated in the event. I also assisted with a recent school supply/backpack campaign for local schools and a book drive for local charities. As a Court Unit Executive, I have strongly supported the committee's efforts in a variety of community events and fundraising efforts to promote the committee's programs.

Finally, I attend meetings of the Court Assisted Program, a group led by Magistrate Judge Donald J. Wilkerson, which works to integrate offenders on supervised release back into the community. We recently led a clothing drive to solicit donations for local charities, and we are currently holding a canned good and book drive as a joint activity with the Joint Community Outreach Committee. The canned goods will be donated to local food pantries, and the books will be delivered to local jails.

26. **Selection Process:**

- a. Please describe your experience in the entire judicial selection process, from beginning to end (including the circumstances which led to your nomination and the interviews in which you participated). Is there a selection commission in your jurisdiction to recommend candidates for nomination to the federal courts? If so, please include that process in your description, as well as whether the commission recommended your nomination. List the dates of all interviews or communications you had with the White House staff or the Justice Department regarding this nomination. Do not include any contacts with Federal Bureau of Investigation personnel concerning your nomination.

In April 2013, Senator Richard J. Durbin formed a bipartisan committee to evaluate and recommend applicants for this position. On May 10, 2013, I delivered my application to Senator Durbin's office in Springfield, Illinois. On June 5, 2013, I interviewed with the committee in East St. Louis, Illinois. On July 3, 2013, I interviewed with Senator Durbin in Springfield, Illinois. On or about July 10, 2013, I was informed by Senator Durbin's office that my name was being sent to the President for consideration. Since July 12, 2013, I have been in contact with officials from the Office of Legal Policy at the Department of Justice. On August 16, 2013, I interviewed with attorneys from the White House Counsel's Office and the Department of Justice in Washington, D.C. On November 7, 2013, the President submitted my nomination to the Senate.

- b. Has anyone involved in the process of selecting you as a judicial nominee discussed with you any currently pending or specific case, legal issue or question in a manner that could reasonably be interpreted as seeking any express or implied assurances concerning your position on such case, issue, or question? If so, explain fully.

No.

# FINANCIAL DISCLOSURE REPORT NOMINATION FILING

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

|                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                 |                                                                  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>ROSENSTENGEL, NANCY J.                                                                                                                   | <b>2. Court or Organization</b><br><br>UNITED STATES DISTRICT COURT SOUTHERN<br>DISTRICT OF ILLINOIS                                                                                                                                                                            | <b>3. Date of Report</b><br><br>11/07/2013                       |
| <b>4. Title</b> (Article III judges indicate active or senior status;<br>magistrate judges indicate full- or part-time)<br><br>District Court Judge                                                           | <b>5a. Report Type</b> (check appropriate type)<br><input checked="" type="checkbox"/> Nomination      Date 11/07/2013<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2012<br>to<br>10/30/2013 |
| <b>7. Chambers or Office Address</b><br><br>UNITED STATES DISTRICT COURT<br>MELVIN PRICE FEDERAL BUILDING AND COURTHOUSE<br>750 MISSOURI AVENUE, ROOM 104<br>EAST ST. LOUIS, ILLINOIS 62201                   |                                                                                                                                                                                                                                                                                 |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts,<br/>checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                 |                                                                  |

## 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

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

**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 TYPEINCOME  
(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.)*DATESOURCE AND TYPE

1. 2012

BONIFIELD AND ROSENSTENGEL, INC. ATTORNEY AT LAW - SALARY

2. 2013

BONIFIELD AND ROSENSTENGEL, INC. ATTORNEY AT LAW - SALARY

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. EXEMPT

2.

3.

4.

5.

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

**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.              |                                                 |                   |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. REGIONS BANK CASH ACCOUNTS                                                                                               | A                                       | Interest                                      | L                                               | T                                         | Exempt                                          |                         |                                 |                                |                                                                   |
| 2. BONIFIELD AND ROSENSTENGEL STOCK                                                                                         | D                                       | 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

# FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>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. FIRT TR MULTI ASSET DIV INC INDX FD                                                                                     | A                                       | Dividend                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 24. PROSHARES TRUST SHORT 20+ TR TREASURY                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. SPDR BARCLAYS CAPITAL HI YIELD BOND                                                                                     | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. ISHARE CORE S&P MID-CAP                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. FRANKLIN INCOME FUND A                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. BRIGHT STAR COLLAGE SAV AGE BASED 10-11                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. BRIGHT STAR COLLAGE SAV AGE BASED 12-14                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. BRIGHT STAR COLLAGE SAV AGE BASED 15-17                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. COCA COLA STOCK                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. EDWARD JONES PUTNUM NEW OPT                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. BRIGHT START ADVISOR EQUITY H                                                                                           | A                                       | Dividend                                      |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 34. NML LIFE INSURANCE- WHOLE LIFE CASH VALUE                                                                               | D                                       | Dividend                                      | M                                               | 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

# FINANCIAL DISCLOSURE REPORT

Page 6 of 11

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| ROSENSTENGEL, NANCY J.   | 11/07/2013     |

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 35. COUNTRY COMPANIES WHOLE LIFE INSURANCE CV                                                                               | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. HARTFORD LIFE W-LIFE INSURANCE POLICY-CASH VALUE                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. JJB PROFIT SHARING PLAN AC                                                                                              | G                                       | Int./Div.                                     | PI                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. - ARCH COAL                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 39. - AUTOMOTIVE DATA PROCESSING                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. - AT&T INC                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 41. - BANK OF AMERICA                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 42. - BANK OF AMERICA                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 43. - CATERPILLAR INC                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 44. - CHEVRON CORPORATIO                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 45. - CLAYMORE GUGGENHEIM ET MULTI ASSET INCOME                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 46. - CREDO PETROLEUM                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 47. - DELL                                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 48. - EXXON MOBLE                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 49. - JOHNSON & JOHNSON                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 50. - GENERAL ELECTRIC                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 51. - ISHARE BARCLAYS                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

- |                                                  |                                                                                                                                                                      |                                                                                                                                                      |                                                                                                                                                                                  |                                                                                                                                    |                        |
|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000<br>Q =Appraisal<br>U =Book Value | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000<br>R =Cost (Real Estate Only)<br>V =Other | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000<br>S =Assessment<br>W =Estimated | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000<br>T =Cash Market | E =\$15,001 - \$50,000 |
|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------|------------------------|

# FINANCIAL DISCLOSURE REPORT

Page 7 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - ISHARE S&P U.S. PRF STOCK                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 53. - ISHARES JP MORGAN EMERG MTK BOND FUND                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 54. - NIKE INC                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 55. - PEABODY ENERGY                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 56. - MERCK & CO                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 57. - MICROSOFT                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 58. - PFIZER INCORP                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 59. - REGIONS FINANCIAL                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 60. - T ROW PRICE MID-CAP GR                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 61. - SPDR BARCLAYS CAP HI YIELD BOND                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 62. - TELLABS INC                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 63. - UNION PACIFIC CORP                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. - VERIZON COMMUNICATIONS                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 65. - WALL-MART STORES INC                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 66. - WESTERN UNION CO                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 67. - UST BONDS                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 68. - HUNTLEIGH FEDERAL PRIME SERIES                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 8 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. - FRONTIER COMMUNICATION                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 70. - PATRIOT COAL CORP                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 71. - PROCTOR AND GAMBLE                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 72. - VANGUARD SHORT TERM ET CORP<br>BONDS                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 73. - UNITED TECHNOLOGIES                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 74. - JP MORGAN PRIME MONEY MARKET                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 75. - ZOLTEK COS INC                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 76. - WELLS FARGO COMP                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 77. - UNITED HEALTH GROUP INC                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 78. - PROSHARES ULTRA HEAL CARE-2X                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 79. - GUGGENHIEM S&P 500 EQ WGT FIN                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 80. - JP MORGAN CHASE                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 81. - HOME DEPOT INC                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 82. - HENNESSY FUNDS TR                                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 83. - SPDR BARCLAYS SHT TERM HI<br>YIELD BOND                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 84. - APPLE INC                                                                                                             |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 85. - FIRT TR CONSUMER DSI ALPHADEX<br>FD                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

K =\$15,001 - \$50,000  
O =\$500,001 - \$1,000,000

L =\$50,001 - \$100,000  
P1 =\$1,000,001 - \$5,000,000

M =\$100,001 - \$250,000  
P2 =\$5,000,001 - \$25,000,000

3. Value Method Codes  
(See Column C2)

P3 =\$25,000,001 - \$50,000,000  
Q =Appraisal  
U =Book Value

R =Cost (Real Estate Only)  
V =Other

P4 =More than \$50,000,000  
S =Assessment  
W =Estimated

T =Cash Market

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: ROSENSTENGEL, NANCY J., 11/07/2013

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.)

Table with 10 columns: A. Description of Assets, B. Income during reporting period, C. Gross value at end of reporting period, D. Transactions during reporting period. Rows include: 86. - NORFOLK SOUTHERN COR, 87. OFFICE PROPERTY, BELLEVILLE, ILLINOIS

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
2. Value Codes: F=\$50,001 - \$100,000, G=\$100,001 - \$1,000,000, H1=\$1,000,001 - \$5,000,000, H2=More than \$5,000,000
3. Value Method Codes: J=\$15,000 or less, K=\$15,001 - \$50,000, L=\$50,001 - \$100,000, M=\$100,001 - \$250,000
Q=Appraisal, R=Cost (Real Estate Only), S=Assessment, T=Cash Market
U=Book Value, V=Other, W=Estimated

# FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

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

LINE 35 THE HARTFORD LIFE INSURANCE POLICY AND CASH VALUE IS OWNED BY THE NOMINEE AND THE INSURED IS THE MOTHER OF THE NOMINEE. IT WAS NOT REPORTED AS AN INVESTMENT ON THE PRIOR REPORT.

LINE 85 THE OFFICE PROPERTY WAS NEWLY ACQUIRED ON DECEMBER 31,2012 AND WAS NOT REPORTED AS AN INVESTMENT ON THE PRIOR REPORT.

# FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

ROSENSTENGEL, NANCY J.

Date of Report

11/07/2013

## 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               |   | 79  | 473 | Notes payable to banks-secured (auto)            |    | 20  | 692 |
| U.S. Government securities              |   |     |     | Notes payable to banks-unsecured                 |    |     |     |
| Listed securities – see schedule        |   | 121 | 770 | 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  |    | 84  | 633 |
| 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               |   | 231 | 286 |                                                  |    |     |     |
| Other assets itemize:                   |   |     |     |                                                  |    |     |     |
| Bonifield & Rosenstengel Profit Sharing |   | 392 | 828 |                                                  |    |     |     |
| Thrift Savings Plan                     |   | 304 | 330 |                                                  |    |     |     |
|                                         |   |     |     | Total liabilities                                |    | 105 | 325 |
|                                         |   |     |     | Net Worth                                        | 2  | 065 | 262 |
| Total Assets                            | 2 | 170 | 587 | Total liabilities and net worth                  | 2  | 170 | 587 |
| 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                      |   |     |     |                                                  |    |     |     |

## FINANCIAL STATEMENT

### NET WORTH SCHEDULES

#### Listed Securities

|                                                                 |                   |
|-----------------------------------------------------------------|-------------------|
| Coca Cola Co. stock                                             | \$ 3,404          |
| First Trust AlphaDEX Fund                                       | 9,248             |
| First Trust Industrials/Producer Durables AlphaDEX Fund         | 8,332             |
| First Trust Multi-Asset Diversified Income Index Fund           | 5,971             |
| Franklin Income Fund                                            | 8,004             |
| Illinois Bright Start College Savings Age Based 10-11 Portfolio | 11,464            |
| Illinois Bright Start College Savings Age Based 12-14 Portfolio | 11,102            |
| Illinois Bright Start College Savings Age Based 15-17 Portfolio | 10,881            |
| iShares Dow Jones US Real Estate Index Fund                     | 7,655             |
| iShares S&P Core Mid-Cap                                        | 5,835             |
| iShares S&P 500 Growth Index Fund                               | 10,991            |
| PowerShares Senior Loan Portfolio Fund                          | 7,503             |
| Putnam Multi-Cap Growth Fund                                    | 9,270             |
| SPDR Barclays Capital High Yield Bond ETF                       | 9,803             |
| SPDR Gold Trust ETF                                             | 2,307             |
| Total Listed Securities                                         | <u>\$ 121,770</u> |

#### Unlisted Securities

|                           |                   |
|---------------------------|-------------------|
| Bonifield & Rosenstengel  | <u>\$ 250,000</u> |
| Total Unlisted Securities | <u>\$ 250,000</u> |

#### Real Estate Owned

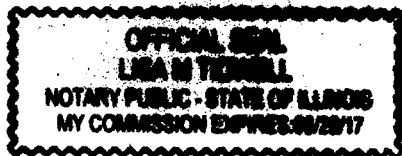
|                         |                   |
|-------------------------|-------------------|
| Personal residence      | \$ 375,000        |
| Office property         | 150,000           |
| Timeshare               | 30,000            |
| Total Real Estate Owned | <u>\$ 555,000</u> |

AFFIDAVIT

I, Nancy J. Rosenstengel, do swear that the information provided in this statement is, to the best of my knowledge, true and accurate.

November 7, 2013  
(DATE)

Nancy J. Rosenstengel  
(NAME)



Lisa M. Tidwell  
(NOTARY)