

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) Wood, Diane P.	2. Court or Organization U.S. Court of Appeals for the Seventh Circuit	3. Date of Report 12/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 2688 U.S. Courthouse 219 S. Dearborn St. Chicago, IL 60604-1818		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Senior Lecturer in Law	The University of Chicago Law School
2. Trust, Council, and Board	American Academy of Arts & Sciences
3. Board	Constitutional Rights Foundation Chicago
4. Council and Executive Committee	American Law Institute
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.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	University of Chicago (Teaching)	\$27,495.00
2. 2016	LEG, Inc. dba West Academic (book royalties)	\$1,717.00
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Northwestern Feinberg School of Medicine - Professor of Neurology - salary
2. 2016	Self-employed Health Care Consultant - Expert Neurologist
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Association of American Law Schools	Jan. 9, 2016	New York, NY	Panel	T
2. American Law Institute	Jan. 20-22, 2016	Philadelphia, PA	Council meeting	T, F, L
3. Federal Bar/Appellate Lawyers	Jan. 27, 2016	Springfield, IL	Speech	T
4. University of Colorado/ Silicon Flatirons	Jan. 30-Feb. 1, 2016	Boulder, CO	Conference	T, F, L
5. Stanford University	Feb. 4-5, 2016	Palo Alto, CA	Moot Court	T, F, L

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6.	Arizona State University	Feb. 6-7, 2016	Phoenix, AZ	Sandra Day O'Connor Dinner	T, F, L
7.	Yale School of Management	Feb. 19-20, 2016	New Haven, CT	Conference	T, F, L
8.	American Academy of Arts & Sciences	Mar. 24-25, 2016	Cambridge, MA	Project	T, F, L
9.	Fordham IP Institute	Mar. 31-Apr. 2, 2016	New York, NY	Conference	T, F, L
10.	Georgetown University	Apr. 24-25, 2016	Washington, DC	Speech	T, F, L
11.	University of Chicago	May 15-16, 2016	Washington, DC	American Law Institute annual meeting	T, F, L
12.	Global Competition Law Center	June 3-12, 2016	Brussels, Belgium	Symposium	T, F, L
13.	American Academy of Arts & Sciences	June 16-17, 2016	New York, NY	Project	T, F, L
14.	University of Colorado	July 11, 2016	Chicago, IL	Casebook	F
15.	Renaissance Weekend	Sept. 1-5, 2016	Aspen, CO	Conference	F, L
16.	American Law Institute	Sept. 15-16, 2016	Philadelphia, PA	Project meeting	T, F, L
17.	American College of Trial Lawyers	Sept. 16-23, 2016	Philadelphia, PA & Washington, DC	UK-US Legal Exchange	T, F, L
18.	American Academy of Arts & Sciences	Sept. 23, 2016	Cambridge, MA	Project	T, F
19.	American Academy of Arts & Sciences	Oct 6-9, 2016	Cambridge, MA	Induction	T, F, L
20.	International Bar Association	Oct. 12-15, 2016	Florence, Italy	Conference	T, F, L
21.	American Law Institute	Oct. 20-21, 2016	New York, NY	Council	T, F, L
22.	Cornell Law School	Oct. 28-Nov. 1, 2016	Ithaca, NY	Moot Court & Class	T, F, L
23.	University of Pennsylvania	Nov. 11-12, 2016	Philadelphia, PA	Symposium	T, F, L
24.	American Academy of Arts & Sciences	Nov. 13-14, 2016	New York, NY	Project	T, F, L
25.	University of Chicago	Dec. 11-17, 2016	Beijing, China	Conference	T, F, L

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

1. The TIAA Traditional Fund (note in Part VIII)		None	N	T					
2. The CREF Stock R3 Traditional mutual fund (note in part VIII)		None	O	T					
3. BMO Harris Bank - cash account	A	Interest	N	T					
4. Chase Bank - cash account	A	Interest	O	T					
5. Ameriprise 403(b) (H)									
6. - Ameriprise Financial Inc. Fund		None	M	T					
7. Baird Insured Deposit - cash account	A	Interest	L	T					
8. Bristol-Myers Squibb - common stock	A	Dividend	K	T					
9. Fastenal Company - common stock	D	Dividend	M	T					
10. Fidelity NMFF 457(b) (H)									
11. - ARBSX	A	Int./Div.	L	T					
12. - ATTX	A	Int./Div.	J	T					
13. - BHYIX	A	Int./Div.	M	T					
14. Fidelity NW 403(b) (H)									
15. - FBGKX		None			Sold	10/21/16	M	A	
16. - FETKX		None			Sold	10/21/16	M	A	
17. - FVLKX		None			Sold	10/21/16	M	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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

18. Fidelity Northwestern Medical (H)									
19. - FGCKX		None	O	T					
20. - HAOYX		None	M	T					
21. - ODVYX		None	M	T					
22. - Vanguard Primecap Adm (VPMAX)		None	M	T	Buy	10/21/16	M		
23. - JH Discl Value R6 (JDVWX)		None	M	T	Buy	10/12/16	M		
24. - MFS Mid Cap Value R6 (MVCKX)		None	M	T	Buy	10/21/16	M		
25. Wells Fargo Account (H)									
26. - WMFAX (municipal bond-A)	A	Dividend	J	T					
27. - SADAX (ultra-short-term income-A)	C	Dividend	N	T					
28. - WMUXX (municipal mny-mkt-A)	A	Dividend	M	T					
29. Fidelity Puritan Fund	C	Dividend	M	T					
30. FDRXX	A	Interest	J	T					
31. CLSPX		None	M	T					
32. FDVLX		None	N	T					
33. GE		None	L	T					
34. TFFYX		None	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	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

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

35. Sep IRA (H)									
36. - FDRXX		None	J	T					
37. - FLPSX		None	M	T					
38. Northwestern Mem 401K (H)									
39. - Vanguard Target Fund		None	J	T					
40. - FGCKX		None	L	T					
41. - JDVWX		None	L	T					
42. Northwestern 457(b) (H)									
43. - VTTVX		None	L	T					
44. GE	A	Dividend	J	T					
45. W&T Offshore (Y)									
46. Walmart de Mexico	A	Dividend	K	T					
47. Whole Foods	C	Dividend	M	T					
48. Zimmer Biomet Holdings	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

Part VII. Investments and Trusts

Notes:

Line 1. The TIAA Traditional Fund is an ordinary annuity. I have no say in the investment mix. It is not income-producing. The value of accumulations either increases or decreases depending on the market and premiums paid in.

Line 2. The CREF Stock R3 Fund is also a traditional mutual fund. I have no say in the investment mix. Like the TIAA Traditional Fund, this either increases or decreases depending on the market and premiums paid.

Line 9. Note for Fidelity NMFF 457(b): This account includes three funds: (1) ARBSX, value code L; (2) ATTIX, value code J; and (3) BHYIX, value code M. No income was generated. The value method is T.

Line 10. The Plan administrator sold these three funds and replaced with others (even swap) as follows: (1) FBGKX, value M, exchanged for Vanguard Primecap Adm (VPMAX); (2) FETKX, value M, exchanged for JH Discl Value R6 (JDVWX); and FVLKX, value M, exchanged for MFS Mid Cap Value R6 (MVCKX). No income was generated. The value method is T.

Line 11: Note for Fidelity Northwestern Medical: This now includes the three funds reported in 2015, but also the three funds acquired in the exchanges reported in line 10. It thus has (1) FGCKX, value code O; (2) HAOYX, value code M; (3) ODVYX, value code M; (4) JDVWX, value code M; (5) MVCKX, value code M; and (6) VPMAX, value code M. No income was generated. The value method is T.

Line 25: The Wells Fargo account includes three funds: WMFAX (municipal bond-A), value code J; SADAX (ultra-short-term income-A), value code N; and WMUXX (municipal mny-mkt-A), value code M. Income in dividend form - total is C (SADAX = C; WMFAX = A; WMUXX = A). Value method T.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Diane P. Wood**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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