

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) HART, WILLIAM T.	2. Court or Organization NORTHERN DISTRICT OF ILLINOIS	3. Date of Report 07/01/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. SENIOR DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 219 South Dearborn Street Room 2502 Chicago, IL 60604		
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.	DIRECTOR	NORTHERN DISTRICT OF ILLINOIS COURT HISTORICAL ASSOCIATION, an Illinois not-for-profit corporation
2.	DIRECTOR AND SECRETARY	THE CLARE CHARITABLE FOUNDATION, an Illinois not-for-profit corporation
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.		

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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.)*

DATE

SOURCE AND TYPE

INCOME

(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.)*

DATE

SOURCE AND TYPE

1.

2.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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

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

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

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. (H) IRA #1 UBS FINANCIAL SERV., INC. & J.P. MORGAN SEC. LLC	E	Distribution	O	T					
2. --NUVEEN PFD & INCOME									
3. --DRU, INC.									
4. --Caterpillar FNL SVC									
5. --Genworth Fin., Inc.					Redeemed	09/13/13	L	C	
6. --M&T Capital Trust									
7. --Credit Suisse GU					Redeemed	03/28/13	J	A	
8. --J.P. Morgan Chase					Redeemed	09/03/13	L	B	
9. --U.S. Steel Corp. Bond									
10. --Blackstone/GSO					Sold	04/02/13	L	A	
11. --UBS Bank Deposits					Closed	08/13/13	M	A	
12. --JP Morgan Deposit Account B					Open	08/13/13	M		
13. --Ford Motor Credit NTS					Redeemed	09/03/13	L	B	
14. --BANK OF AMERICA DEBT					Redeemed	09/16/13	L	D	
15. --MORGAN STANLEY B/E									
16. --Duff & Phelps GLB UTL, Inc.					Sold	05/02/13	L	D	
17. --Northstar Realty Fin.					Sold	04/05/13	L	B	

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 H ~\$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	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. --Cliffs Nat. Res (CLF)					Buy	06/05/13	K		
19. --Freeport-McMoRan (FCX)					Buy	04/02/13	K		
20. --First Energy Corp. (FE)					Buy	06/24/13	K		
21. --Orange-Spon ADR					Buy	07/01/13	K		
22. (H) UBS Financial Serv., Inc. Acct: & J.P. Morgan Sec. LLC									
23. British Petroleum	B	Dividend	K	T					
24. KKR Fin. (KNFRR)	C	Dividend	K	T	Buy	01/10/13	K		
25. Duke Energy	B	Dividend	J	T					
26. Chi. Bd. Ed. Bonds	A	Interest			Sold	03/15/13	L	A	
27. Bristol Meyers Squibb	B	Dividend	K	T					
28. General Electric	A	Dividend	K	T					
29. Blackrock Mont.	B	Dividend	K	T					
30. Luzerne, CO GO B	B	Interest	L	T					
31. Kansas CY CLGS	A	Interest	J	T					
32. Credit Suisse	A	Dividend			Redeemed	03/28/13	J	A	
33. Deutsche BK Cap III	B	Dividend	K	T					
34. Discover Fin. Serv.	A	Dividend			Sold	01/14/13	L	B	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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35. Vale SA (Vale)	A	Int./Div.	K	T	Buy	05/22/13	K		
36. Goldman Sachs	B	Dividend	K	T					
37. RMA Money Mkt	A	Int./Div.			Closed	08/13/13	J		
38. JP Morgan Dep. Ac B	A	Interest	K	T	Open	08/13/13	J		
39. Exelon Corp.	A	Dividend			Sold	04/24/13	K	C	
40. Western Union Co.	B	Dividend	K	T					
41. Puerto Rico E.W.PA	B	Interest	L	T	Buy	03/15/13	L		
42. (H) Stofan Agazzi Acct.									
43. Ill. Rural Bk Bd Rev Bond	A	Interest			Sold	04/25/13	K	A	
44. Walgreen	A	Dividend	J	T					
45. Romeoville, IL GO	B	Interest	K	T					
46. Wash. St. Higher Ed. Fac Bond	B	Interest	K	T					
47. IM-IT Bond Fund 79 (Van Kampen)	A	Interest			Redeemed	08/01/13	J	A	
48. Ill. St. U. Rev. B	A	Interest	J	T					
49. Rancho Mirage CA B	A	Interest	J	T					
50. Hummer Sweep Act.	A	Interest	K	T	Open	04/25/13	K		
51. Harris BMO Bank (Checking)	A	Interest	L	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Harris BMO Bank (Savings)	A	Interest	L	T					
53. Mass. Mut. Life Ins. (Paid Up)		None	K	T					
54. The Clare Residency Deposit Acct.		None	O	T					

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

No.

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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/ WILLIAM T. HART

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544