

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) WOOD, DIANE P.	2. Court or Organization U.S. Court of Appeals, 7th Cir	3. Date of Report 05/07/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 2688 U.S. Courthouse 219 S. Dearborn Street 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 and Council Member	American Academy of Arts & Sciences
3.	Board Member	Constitutional Rights Foundation Chicago
4.	Council and Executive Committee	American Law Institute
5.	Board Member	Texas Law Review Association

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. 2013	University of Chicago (Teaching)	\$26,955.00
2. 2013	West Services, Inc. (Book Royalties)	\$3,278.00
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. 2013	Northwestern Feinberg School of Medicine - Professor of Neurology - Salary
2. 2013	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. American Academy of Arts & Sciences (AAAS)	01/11/13-01/12/13	Chicago, IL	AAAS Commission on Humanities Meeting	F
2. American Law Institute (ALI)	01/16/13-01/18/13	Philadelphia, PA	ALI Council Meeting	T, L, F
3. American Law Institute (ALI)	02/15/13-02/17/13	Philadelphia, PA	ALI Advisory Committee of American Indian Law Meeting	T, L, F
4. Lewis & Clark Law School and American Constitution Society of Portland OR	02/21/13-02/24/13	Portland, OR	Lewis & Clark Law School Native American Moot Court and ACS Dinner	T, L, F
5. University of Colorado Law School	02/24/13-02/26/13	Boulder, CO	University of Colorado Law Moot Court	T, L, F

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6.	Harvard Law Review	04/06/13-04/07/13	Boston, MA	Harvard Law Review Annual Banquet	T, L, F
7.	University of Texas Law Review Association	04/13/13-04/15/13	Austin, TX	Texas Law Review Association Annual Meeting	T, L, F
8.	Federal Judicial Center and Justice Academy of Turkey	05/12/13-05/19/13	Ankara and Istanbul, Turkey	FJC and Justice Academy of Turkey Conference	T, L, F
9.	University of Chicago School of Law and American Law Institute (ALI)	05/19/13-05/22/13	Washington, DC	ALI Annual Meeting	T, L, F
10.	American Constitution Society (ACS)	06/14/13-06/15/13	Washington, D.C.	ACS National Convention	T, L, F
11.	Regional Competition Center for Latin America (CRC)	06/30/13-07/01/13	Washington, D.C.	CRC Seminar on Competition for Latin American Judges	T, L, F
12.	Renaissance Weekend	08/29/13-09/02/13	Monterey, CA	Renaissance Weekend	L,F
13.	Global Arbitration Review (GAR)	09/17/13-09/18/13	New York, NY	GAR Live New York Conference	T,L
14.	American Academy of Arts & Sciences (AAAS)	10/11/13-10/13/13	Cambridge, MA	AAAS Induction Weekend	T, L, F
15.	American Law Institute (ALI)	10/17/13-10/18/13	New York, NY	ALI Council Meeting	T, L, F
16.	Loyola Univ. Chicago Law School; Pontifical Catholic Univ. of Santiago, et al.	10/23/13-10/28/13	Santiago, Chile	Center for Free Competition Conference on Competition/Private Enforcement	T, L, F
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18.					
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27.					

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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. Teachers Insurance & Annuity Assn. (TIAA)		None	N	T					
2. College Retirement Equities Fund (CREF)		None	O	T					
3. BMO Harris Bank	A	Interest	L	T					
4. Chase Bank	A	Interest	N	T					
5. Ameriprise 403(b)		None	M	T					
6. Avanir Pharmaceuticals	A	Dividend	J	T					
7. Baird Insured Deposit	A	Interest	L	T					
8. Bristol Myers	A	Dividend	K	T					
9. Fastenal	C	Dividend	M	T					
10. Fidelity NMFF 457(b) (See Note)		None	M	T					
11. Fidelity NW 403(b)		None	N	T					
12. Fidelity Northwestern Medical (See Note)		None	P1	T					
13. FRDXX Fidelity Cash Reserves	A	Interest	L	T					
14. CLSPX Columbia Mid Cap Growth Cl Z		None	M	T					
15. FDVLX Fidelity Value		None	N	T					
16. FLPSX Fidelity Low Priced Stock Fund		None	L	T					
17. GE	A	Dividend	K	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)

18. TFFYX Touchstone Focused Class Y		None	M	T					
19. Maricopa, AZ Tax-Exempt Bond		None	J	T					
20. W & T Offshore	A	Dividend	J	T					
21. Walmart de Mexico	A	Dividend	K	T					
22. Wells Fargo (See Note)	B	Int./Div.	N	T					
23. Whole Foods	C	Dividend	N	T					
24. Zimmer Medical Holdings	A	Dividend	J	T					
25. Rental House, Travis Co., Texas- See Part VIII	E	Rent	M	S					

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

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

PART VII. Investments and Trusts.

Lines 1 and 2: The TIAA and CREF accounts reported in these lines are not income-producing. The value of accumulations in each either increases or decreases depending on the market and the amount of premiums paid in.

Line 10: Note for Fidelity NMFF 457(b): This account includes three funds: ARBSX, value code L; ARNIX, value code J; and BHYIX, value code L. No income was generated, and the value method is T.

Line 11: Note for Fidelity NW 403(b): This includes three funds: FBGKX, value code M; FETKX, value code M; and FVLKX, value code M. See note for line 11, 2012 AO-10 report, which indicates that the same three funds made up this fund in 2012. No income was generated, and the value method is T.

Line 12: Note for Fidelity Northwestern Medical: This was included in 2012 under the general heading Fidelity NW 403(b). Last year's note indicated that the Northwestern Medical account was composed of several individual funds. The fund managers changed some of the component funds during 2013. (Compare note for line 11, 2012 AO-10 report.) The current three funds within this account are: FGCKX, value code O; HAOYX, value code M; and ODVYX, value code M. No income was generated, and the value method is T.

Line 22: Note for Wells Fargo: This represents three mutual funds, as follows: Municipal MNY Mkt-Inv (WMVXX), value code L; Municipal Bond-Inv (SXFIX), value code J; and Ultra Short-Term Income-Inv (STADX), value code N.

Line 25: The 2013 Assessed Value for the Rental House in Travis County, Texas, was \$211,680.

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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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