

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Lefkow, Joan H.	2. Court or Organization U.S. District Court, NDIL	3. Date of Report 11/06/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Senior	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 219 South Dearborn Street Room 2286 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Law Board (Advisory)	Northwestern Pritzker School of Law
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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. George Mason University Antonin Scalia Law School	1/25/2018 to 1/28/2019	Key Largo, FL	Case Analysis Seminar for Federal Judges	Travel, Lodging, and Meals
2. New York University School of Law	10/18/2018 to 10/20/2018	New York, NY	Federal Court Jury Innovation Project	Travel, Lodging, and meals
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. Northwestern Mutual Whole Life Insurance	B	Dividend	K	T					
2. U.S. Employees Credit Union Cash Account	A	Interest	K	T					
3. Joan H Lefkow IRA NFS (H)									
4. - DOUBLELINE CORE FIXED INCOME CL I	A	Dividend	J	T					
5. - FIDELITY GOVERNMENT CASH RESERVES	A	Dividend	J	T					
6. - FIRST EAGLE GLOBAL CLASS I	A	Dividend	J	T					
7.	A	Distribution							
8. - GUGGENHEIM FLOATING RATE STRTGS FD INSTL	A	Dividend	J	T					
9. - HARTFORD WORLD BOND FUND CL I	A	Dividend	J	T					
10.	A	Distribution							
11. - LORD ABBETT SHORT DURATION INCOME CL F	A	Dividend	J	T					
12. - MFS VALUE FUND CLASS I	A	Dividend	J	T					
13.	A	Distribution							
14. - MONETTA CORE GROWTH FD	A	Dividend	J	T					
15.	A	Distribution							
16. - OAKMARK INTL ADVISOR FUND	A	Dividend	J	T					
17.	A	Distribution							

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

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18. - PARNASSUS CORE EQUITY INSTL	A	Dividend	J	T					
19.	A	Distribution							
20. - PIMCO EQS LONG/SHORT FUND INSTL	A	Distribution	J	T					
21. - PIMCO INCOME FUND INSTITUTIONAL FUND	A	Dividend	J	T					
22. - PRINCIPAL GLOBAL DIVERSIFIED INC INST	A	Dividend	J	T					
23. - RESOURCE REAL ESTATE DIVERSIFIED INCW	B	Dividend	K	T					
24. - VANGUARD/WELLESLEY INCOME INVESTOR	A	Dividend	J	T					
25.	A	Distribution							
26. Lefkow Family Trust NFS (H)									
27. - CASH ACCOUNT - FIDELITY INVESTMENTS (FCASH)	A	Interest	L	T					
28. - HINES GLOBAL INCOME TRUST INC CL IX	B	Dividend	K	T					
29. - SHOPOFF COMMERCIAL GROWTH & INCOME FUND III LP	A	Distribution	K	T					
30. - ROYAL DUTCH SHELL PLC SPON ADR B		None	J	T	Buy	12/14/18	J		
31. - CHEVRON CORP NEW COM		None	J	T	Buy	12/14/18	J		
32. - PIMCO INCOME FUND INSTITUTIONAL FUND	A	Dividend	J	T	Buy	03/19/18	J		
33. - ARTISAN GLOBAL OPPORTUNITIES INV	A	Distribution	J	T	Buy	03/19/18	J		
34. - AB EQUITY INCOME ADVISOR CLASS	A	Dividend	J	T	Buy	03/19/18	J		

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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	
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35.	A	Distribution							
36.									
37.									
38.									
39.									

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

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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/ Joan H. Lefkow**

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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