

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) Gottschall, Joan B.	2. Court or Organization U.S. District Court, NDIL	3. Date of Report 04/24/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge--Senior Status	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 Room 2356 219 South Dearborn Street 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.	Member	Visiting Committee to the Divinity School, University of Chicago
2.	Member, Board of Directors	Martin Marty Center at the University of Chicago Divinity School
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. University of Notre Dame

1-5-13

Chicago, IL

Transportation to Society
for Christian Ethics
meeting for lectureLimousine from Chicago, Hilton to home;
dinner2. Loyola Marymount
University

10-20-13 to 10 23-13

Los Angeles, CA

Lecture at Restorative
Justice conferenceTransportation (airfare), meals,
incidentals, hotel

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. Vanguard Wellington Fund	C	Dividend	L	T					
2. Vanguard Wellesley Fund	B	Dividend	L	T					
3. Vanguard Index Trust	B	Dividend	M	T					
4. Vanguard Prime Portfolio	A	Dividend	K	T					
5. Fed Empl Credit Union Acts	A	Interest	J	T					
6. IBM c/stock	A	Dividend	K	T					
7. Intel c/stock	A	Dividend	J	T					
8. Waste Management c/stock	A	Dividend	J	T					
9. Vanguard Tax-Managed Growth & Income Fund (Admiral Fund)	A	Dividend	K	T					
10. Hewlett-Packard c/stock	A	Dividend	J	T					
11. CVS Caremark c/stock	A	Dividend	J	T					
12. Vanguard Capital Opportunity Fund	A	Dividend	J	T					
13. BlackRock Large Cap Value	A	Dividend	J	T					
14. BlackRock Value Opportunities	A	Dividend	K	T					
15. Dodge & Cox Fds Intl Stk Fd	A	Dividend	J	T					
16. Balanced Fund Inc.	B	Int./Div.	M	T					
17. Capital Income Bldr	C	Int./Div.	M	T					

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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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. Capital World Growth Inc. Fnd	C	Int./Div.	M	T					
19. Income Fnd Amer Inc.	C	Int./Div.	M	T					
20. Vanguard Fix. Inc. Sec. Fund	A	Int./Div.	L	T					
21. Vanguard Wellesley Inc. Fund *	D	Int./Div.	N	T					*See Part VIII, n.1
22. Vanguard Wellington Fund*	C	Int./Div.	M	T	Buy (add'l)	08/08/13	J		*See Part VIII, n.1
23. California State G/O Unltd	A	Interest			Redeemed	02/01/13	J		
24. District Columbia Wtr & Swr	A	Interest			Redeemed	10/01/13	K		
25. New York NY Fiscal 2003	A	Interest			Redeemed	03/01/13	K		
26. St. Charles MO Sch Dist	A	Interest			Redeemed	03/01/13	K		
27. Suffolk County NY Wtr	B	Interest			Redeemed	06/03/13	K		
28. New York NY Prerefunded-F	A	Interest			Redeemed	01/15/13	K		
29. Arlington Cnty VA Rfdg	A	Interest			Redeemed	01/15/13	J		
30. Solano Cnty CA Cmnty College -	B	Interest			Redeemed	08/01/13	K		
31. New York ST Dorm Auth	A	Interest			Redeemed	05/15/13	K		
32. Schenectady NY Indl Dev Agy	B	Interest			Redeemed	07/01/13	K		
33. Richmond VA Ser B	B	Interest			Redeemed	07/15/13	K		
34. Elizabeth Twp PA San Auth	B	Interest	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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35. Seattle WA 2007 [REDACTED]	A	Interest			Redeemed	08/01/13	J		
36. Cleveland Ohio ST Univ [REDACTED]	A	Interest			Redeemed	06/03/13	K		
37. New York NY Prerefunded Ser J [REDACTED]	A	Interest			Redeemed	06/03/13	J		
38. Washoe Cnty Nev Sch Dist [REDACTED]	A	Interest			Redeemed	06/03/13	K		
39. Lincoln NE Elec Sys [REDACTED]	A	Interest			Redeemed	09/03/13	J		
40. New York NY City Transitional [REDACTED]	A	Interest			Redeemed	08/01/13	J		
41. New York ST Dorma Auth [REDACTED]	A	Interest			Redeemed	07/01/13	J		
42. Puerto Rico Elec Pwr [REDACTED]	B	Interest			Redeemed	07/01/13	K		
43. Arizona Tourism & Sports [REDACTED]	A	Interest			Redeemed	07/01/13	J		
44. Suffolk VA Indl Dev Auth [REDACTED]	A	Interest			Redeemed	10/01/13	K		
45. Seattle WA Mun Lt & Pwr [REDACTED]	A	Interest			Redeemed	11/01/13	J		
46. Idaho St Bldg Auth Bldg [REDACTED]	A	Interest			Redeemed	09/03/13	J		
47. Tarrant Regl Wtr Dist TX Wtr [REDACTED]	A	Interest			Redeemed	03/01/13	J		
48. Clearfield Utah Sales [REDACTED]	A	Interest			Redeemed	07/01/13	J		
49. Wintrust Financial Corp. accounts*	A	Interest	M	T					*See Part VIII, n.2
50. Florida St Brd Ed Pub Ed [REDACTED]	A	Interest	K	T	Buy	5/30/13	K		
51. Louisiana St Univ & Agri [REDACTED]	A	Interest	K	T	Buy	5/31/13	K		

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52. Washington St Hc Facs [REDACTED]	A	Interest	K	T	Buy	5/31/13	K		
53. Fontana CA Uni Sch Dist [REDACTED]	A	Interest	J	T	Buy	6/21/13	J		
54. Plant City FL Infra [REDACTED]	A	Interest	J	T	Buy	6/21/13	J		
55. St. Johns Cnty FL Sales [REDACTED]	A	Interest	J	T	Buy	6/21/13	J		
56. Maryland St Hlth & Hghr [REDACTED]	A	Interest	J	T	Buy	7/5/13	J		
57. New Mexico Fin Ath St [REDACTED]	A	Interest	J	T	Buy	7/5/13	J		
58. Richmond VA Ser A Pub [REDACTED]	A	Interest	J	T	Buy	7/5/13	J		
59. Exeter Twp PA [REDACTED]	A	Interest	J	T	Buy	07/08/13	J		
60. JEA FL Elec Sys Rev [REDACTED]	A	Interest	J	T	Buy	7/10/13	J		
61. California St Radian [REDACTED]	A	Interest	J	T	Buy	7/10/13	J		
62. Allegheny Cnty PA Higher [REDACTED]	A	Interest	K	T	Buy	7/11/13	K		
63. Forsyth Cnty GA Ref Oid [REDACTED]	A	Interest	J	T	Buy	07/11/13	J		
64. South Carolina St Pub [REDACTED]	A	Interest	J	T	Buy	7/11/13	J		
65. Collin Cnty Tx [REDACTED]	A	Interest	J	T	Buy	8/8/13	J		
66. Williamson Cnty TX Unrefunded [REDACTED]	A	Interest	J	T	Buy	8/8/13	J		
67. Fennville MI Pub Schs [REDACTED]	A	Interest	J	T	Buy	8/15/13	J		
68. Dover NJ School District [REDACTED]	A	Interest	J	T	Buy	8/16/13	J		

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69. Hanover IN Multi-School Bldg [REDACTED]	A	Interest	J	T	Buy	8/16/13	J		
70. Madisonville KY Wtr & Swr [REDACTED]	A	Interest	J	T	Buy	8/16/13	J		
71. Reed City MI Pub Schs [REDACTED]	A	Interest	K	T	Buy	8/19/13	K		
72. Gateway NJ Regl High S/D [REDACTED]	A	Interest	K	T	Buy	8/26/13	K		
73. MO St Hlth & EFA Health Facs [REDACTED]	A	Interest	K	T	Buy	8/26/13	K		
74. Clear Creek TX Indpt S/D [REDACTED]	A	Interest	K	T	Buy	8/27/13	K		
75. Louisville & Jefferson Cnty KY [REDACTED]	A	Interest	K	T	Buy	8/27/13	K		
76. Oxford ALA Sch Wts [REDACTED]					Buy	8/28/13	J		*See Part VIII, n.3
77. Oxford ALA Sch Wts [REDACTED]	A	Interest	K	T	Buy (add'l)	8/29/13	K		*See Part VIII, n.3
78. Dallas Tex Indpt Sch Dist [REDACTED]	A	Interest	J	T	Buy	8/28/13	J		
79. Chester Cnty PA Indl Dev [REDACTED] -6	A	Interest	K	T	Buy	8/29/13	K		
80. Breckenridge MN Rev [REDACTED]	A	Interest	J	T	Buy	9/17/13	J		
81. Maryland St Dept Trans [REDACTED]	A	Interest	J	T	Buy	9/17/13	J		
82. Lake County Ind Pub Libr [REDACTED]	A	Interest	K	T	Buy	9/18/13	K		
83. New York NY City [REDACTED]	A	Interest	J	T	Buy	9/18/13	J		

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

1.Part VII, lines 21 and 22. These assets are held in both my Revocable Trust account and in my IRA account. The designation "Investr Cl." was properly used for the portion of the assets which are held in the IRA account but not for the portion of the assets held in my Revocable Trust account. In order to combine the assets held in both accounts, I have omitted the "Investr Cl" designation.

2.Part VII, line 49. This is a "sweep" account in both my brokerage and IRA accounts in which money is held pending investment; money is constantly being put into the account and taken out of the account. Wintrust uses various banks from among its subsidiaries.

3.Part VII, line 76-77. This asset was purchased twice, on two dates as indicated. However, my brokerage firm combined year end value and year end interest for the two purchases. Therefore, two transactions are indicated but only one end of year income and value number are given, representing the total interest and total value of all my holdings of this asset.

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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 B. Gottschall**

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