

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Sykes, Diane S.	2. Court or Organization Seventh Circuit United States Court of Appeals	3. Date of Report 06/27/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge, Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 721 United States Courthouse 517 East Wisconsin Avenue Milwaukee, WI 53202		
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. Trustee	James Madison Foundation
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. 1992	WI Department of Employee Trust Funds (retirement account), no control
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

06/27/2018

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. 7-1-2017	Wisconsin Retirement System (state pension)	\$11,842.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Stanford Law School	January 26-28, 2017	Palo Alto, CA	Judge Moot Court	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
2. The Federalist Society for Law & Public Policy Studies	January 28-29, 2017	Burbank, CA	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
3. Chapman University School of Law	April 17-19, 2017	Orange, CA	Judge Moot Court	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
4. University of Wisconsin School of Law	May 11-12, 2017	Madison, WI	Commencement Speaker	Hotel & Parking
5. Georgetown University Law Center	May 23-25, 2017	Washington, D.C.	Teaching at Educational Seminar	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting	Date of Report
Sykes, Diane S.	06/27/2018

6.	Federal Bar Association of Oklahoma City	October 4-6, 2017	Oklahoma City, OK	Lecture	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
7.	The Federalist Society for Law & Public Policy Studies, National Convention	November 15-18, 2017	Washington, D.C.	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
8.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

06/27/2018

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.	Federal Judicial Guest Privileges	Union League Club, Chicago, Illinois - See Part VIII	
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.	U.S. Department of Education	Parent Plus College Loan	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

06/27/2018

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. BlackRock Mid Cap Equity-Collective W (via W1 Def.Comp.Prog.) (H)		None	J	T					
2. T Rowe Price Mid Cap Gr (via W1 Def. Comp. Program) (H)	A	Dividend	J	T					
3. Fid Contrafund (via W1 Def. Comp. Program) (H)		None	J	T					
4. Vanguard Admiral Treasury Money Market (via W1 Def. Comp. Program) (H)	A	Dividend	J	T					
5. BlackRock US Debt Index Fund (via W1 Def. Comp. Program) (H)		None	J	T					
6. AllianceBernstein US Gov A (H)	A	Dividend	J	T					
7. W1 Department of Employee Trust Funds, retirement acct (H)		None	M	T					
8. BMO Harris Bank Accounts	A	Interest	M	T					
9. Pershing FT Unit 6764 75/25 Strategic (X)	A	Dividend	K	T					
10.									
11.									
12.									
13.									
14.									
15.									
16.									
17.									

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
(See Column C2)	Q = Appraisal	V = Other	W = Estimated		
	U = Book Value				

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

06/27/2018

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

1) Part II. The agreement regarding the Wisconsin Department of Employee Trust Funds commenced in 1992, when Judge Sykes began employment as a Milwaukee County Circuit Judge. The agreement concerns a state pension and a state deferred compensation account.

2) Part V, Item I. The Union League Club of Chicago is a social and civic association with dining, lodging, and athletic facilities located adjacent to the federal complex in Chicago. The Club offers guest privileges to federal judges. The charge for these limited privileges for 2017 was \$1,526 (full Club membership dues for a member of the same age for 2017 were \$3,709.60). Members of the federal judiciary who receive such Club privileges may not hold office, serve on committees, or be entitled to vote. Judicial officers with these guest privileges pay for food and athletic services on the same basis as Club members.

3) Part III. My state pension from my service as a state judge began to pay the defined benefit effective July 1, 2017.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

06/27/2018

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 S. Sykes**

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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