

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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 05/14/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 716 United States Court House 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. Insert signature on last page.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ **NONE** (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
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

05/14/2012

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.	Vanderbilt School of Law (Moot Court)	February 3-5, 2011	Nashville, Tennessee	Moot Court Judge	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
2.	The Federalist Society, National Student Symposium	February 25-27, 2011	Charlottesville, Virginia	Panel Discussant	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
3.	Georgetown University Law School (Moot Court)	March 31-April 1, 2011	Washington, D.C.	Moot Court Judge	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
4.	The Federalist Society, Ave Maria School of Law, Student Event	April 7-8, 2011	Naples, Florida	Speaker	Transportation (Airline & Ground) & Parking
5.	Marquette University School of Law	April 11-13, 2011	Raleigh, North Carolina	Attend Judicial Investiture	Transportation (Airline & Ground), Lodging, Baggage Fee, Parking & Meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/14/2012

6.	The Federalist Society, Harvard University School of Law, Student Event	October 2-4, 2011	Boston, Massachusetts	Speaker	Transportation (Airline & Ground), Lodging, Baggage Fee, Parking & Meals
7.	Brigham Young University Law School (Moot Court)	October 27-30, 2011	Provo, Utah	Moot Court Judge	Transportation (Airline & Ground), Lodging, Baggage Fee, Parking & Meals
8.	The Federalist Society, National Convention	November 9-13, 2011	Washington, D.C.	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/14/2012

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/14/2012

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.	BGI Mid Cap Equity-Collective W (via WI Def. Comp. Program)	A		J	T				See Part VIII
2.	T Rowe Price Mid Cap Gr (via WI Def. Comp. Program)	A		J	T				See Part VIII
3.	Fid Contrafund (via WI Def. Comp. Program)	A		J	T				See Part VIII
4.	Vanguard Admiral Treasury Money Market (via WI Def. Comp.)	A		J	T				See Part VIII
5.	BGI US Debt Index Fund (via WI Def. Comp. Program)	A		J	T				See Part VIII
6.	AllianceBernstein US Gov A	A		J	T				See Part VIII
7.	WI Department of Employee Trust Funds, retirement account	C	Interest	L	T				
8.	Interest, Ozaukee Bank	A	Interest	J	T				
9.	College Savings Plan #1--See Part VIII	A		J	T				See Part VIII
10.	College Savings Plan #2--See Part VIII	A		J	T				See Part VIII
11.	College Savings Plan #3--See Part VIII (Y)								See Part VIII
12.	College Savings Plan #4--See Part VIII	A		J	T				See Part VIII
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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/14/2012

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.
- 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 2011 was \$1,031 (full Club membership dues for a guest of the same age for 2011 were \$3,240). 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 VII. The income during reporting period (column B(2)) for Assets 1 through 6 and 9 through 12 is market gain/appreciation.
- 4) Part VII. Line Entry #9: VCSP/College America American Funds Money Market Fund 529A (via NML Investment Services LLC).
- 5) Part VII. Line Entry #10: VCSP/College America American Funds Money Market Fund 529A (via NML Investment Services LLC).
- 6) Part VII. Line Entry #11: This account is closed.
- 7) Part VII. Line Entry #12: Vanguard 529 College Savings Plan Conservative Age-Based Option: Income Portfolio (not a state-sponsored plan).

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/14/2012

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544