

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Lee, John Z.	2. Court or Organization U.S. District Court, N.D.Ill.	3. Date of Report 10/25/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 219 South Dearborn Street Room 122 Chicago, Illinois 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.		
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2016

Physician Anesthesia Associates

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. Federal Judicial Center

10/23/16-10/25/16

South Bend, IN

Judicial conference

Transportation, meals, and lodging

2. _____

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.	Capital One	Mortgage on Rental Property #1, Barrington, IL	O
2.	Ditech Mortgage Corp.	Mortgage on Rental Property #1, Barrington, IL	M
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. Rental Property #1, Barrington, IL (2007 \$745,000)	E	Rent	O	R					
2. LPL Financial IRA #1 (H)									
3. - Am. Beacon Bridgeway Large Cap Fund	B	Dividend	M	T	Buy	06/15/16	M		
4. - Am. Beacon High Yield Fund	B	Dividend	K	T					
5. - Am. Beacon Lg Cap Value Fund		None			Buy (add'l)	04/21/16	K		
6.					Sold	06/15/16	M	A	
7. - Am. Beacon Sm Cap Value Fund	B	Dividend	K	T					
8. - Am. Century Mid Cap Value Fund	B	Dividend	K	T					
9. - Am. Century Real Estate Fund	C	Dividend	K	T					
10. - Artisan Mid Cap Fund	C	Dividend	L	T	Sold (part)	04/21/16	J	A	
11. - Clearbridge Aggressive Growth Fund	C	Dividend	L	T					
12. - DWS CROCI International Fund		None			Sold	04/21/16	J	A	
13. - Entrust Permal Mut. Fund	A	Dividend	L	T	Buy	04/22/16	K		
14. - JP Morgan Prime Money Mkt Acct	A	Interest	J	T					
15. - Janus Venture Fund	A	Dividend	K	T	Buy (add'l)	04/21/16	J		
16. - Natixis ASG Global Alt. Fund		None			Sold	04/21/16	L	A	
17. - Oakmark International Fund	A	Dividend	K	T	Buy (add'l)	04/21/16	J		

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.					Sold (part)	06/15/16	J	A	
19. - Oakmark Select Fund	D	Dividend	M	T	Buy (add'l)	04/21/16	J		
20.					Buy (add'l)	06/15/16	J		
21. - Oppenheimer Dev. Mkts Fund	A	Dividend	K	T					
22. - Prudential Total Return Bond Fund	B	Dividend	L	T					
23. - RS Small Cap Growth Fund		None			Sold	04/21/16	K		
24. - Touchstone Sands Select Fund		None			Sold	04/21/16	L		
25. - Vanguard Growth ETF	A	Dividend	L	T	Buy	04/21/16	K		
26.					Buy (add'l)	04/22/16	J		
27. LPL Financial IRA #2 (H)									
28. - Janus Global Allocation Mut Fund	A	Dividend	J	T					
29. - Goldman Sachs Bank USA Cash Acct		None	J	T					
30. Trust # 1 (H)									
31. - Am. Beacon Sm Cap Value Fund	A	Dividend	K	T					
32. - Am. Beacon Birdgeyway Lg Cap Fund	B	Dividend	M	T	Buy (add'l)	03/21/16	L		
33. - Am Century Mid Cap Value Fund	B	Dividend	K	T					
34. - Am Century Real Estate Mut Fund	C	Dividend	K	T	Buy	06/15/16	K		

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. - Clearbridge Aggressive Growth Fund	C	Dividend	L	T	Buy	02/22/16	L		
36. - Clearbridge Small Cap Mut Fund	A	Dividend	K	T	Buy	11/30/16	K		
37. - Entrust Permal Mut Fund	A	Dividend	L	T	Buy	03/22/16	K		
38. - Henderson Inter'l Opportunities Fund	B	Dividend	L	T					
39. - iShares Core S&P 500 ETF Fund	B	Dividend	M	T					
40. - Janus Enterprise Mut Fund	A	Dividend	K	T					
41. - Natixis ASG Global Alternatives Fund		None			Sold	03/21/16	L	A	
42. - Oppenheimer Developing Mkt Fund	A	Dividend	K	T					
43. - Prudential Total Return Bond Fund	B	Dividend	K	T					
44. - Ridgeworth Float. Rate High Inc Fund	B	Dividend	K	T					
45. - Touchstone Small Cap Growth Fund		None			Sold	04/30/16	K	A	
46. - Vanguard Growth ETF Fund	A	Dividend	L	T					
47. - Goldman Sachs Bank USA Cash Acct	A	Dividend	J	T					
48. Am. Century Equity Income Mut. Fund	A	Dividend	J	T					
49. Am. Century Value Investor Mut. Fund	A	Dividend	K	T					
50. Deutsche Managed Muni. Bond Mut. Fund	B	Dividend	K	T					
51. Henderson Euro. Focus Mut. Fund	A	Dividend	J	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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52. Janus Venture Mut. Fund	A	Dividend	J	T					
53. Oakmark Fund Mutual Fund	A	Dividend	K	T					
54. Goldman Sachs Bank USA Cash Acct		None	J	T					
55. Bright Directions College Savings 13-16 Portfolio		None			Buy	01/19/16	J		
56.					Buy (add'l)	02/17/16	J		
57.					Buy (add'l)	03/17/16	J		
58.					Buy (add'l)	04/18/16	J		
59.					Buy (add'l)	05/17/16	J		
60.					Buy (add'l)	06/17/16	J		
61.					Buy (add'l)	07/18/16	J		
62.					Buy (add'l)	08/17/16	J		
63.					Buy (add'l)	09/19/16	J		
64.					Buy (add'l)	10/17/16	J		
65.					Sold	10/25/16	M		
66. Bright Directions College Savings 13-14 Portfolio		None	M	T	Buy	10/25/16	M		
67.					Buy (add'l)	11/17/16	J		
68.					Buy (add'l)	12/19/16	J		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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69. Bright Directions College Savings 17-20 Portfolio		None			Buy	01/19/16	J		
70.					Buy (add'l)	02/17/16	J		
71.					Buy (add'l)	03/17/16	J		
72.					Buy (add'l)	04/18/16	J		
73.					Sold	04/25/16	M	A	
74. Bright Directions College Savings BlackRock Cash Fund	A	Interest	J	T	Buy	04/25/16	M		
75.					Sold (part)	07/28/16	M	A	
76. Bright Directions College Savings Baird Short-Term Bond Fund		None	K	T	Buy	04/25/16	K		
77.					Buy (add'l)	05/17/16	J		
78.					Buy (add'l)	06/17/16	J		
79.					Buy (add'l)	07/18/16	J		
80.					Buy (add'l)	08/11/16	J		
81.					Buy (add'l)	09/19/16	J		
82.					Buy (add'l)	10/17/16	J		
83.					Buy (add'l)	11/17/16	J		
84.					Buy (add'l)	12/19/16	J		
85. Bright Directions 529 College Savings Invesco Govt & Agency Bond Fund	A	Interest	K	T	Buy	07/28/16	M		

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86.					Sold (part)	08/09/16	K	A	
87.					Sold (part)	08/10/16	K	A	
88.					Sold (part)	08/11/16	K	A	
89.					Sold (part)	08/12/16	K	A	
90. Bright Directions 529 College Savings MFS Value Fund	A	Interest	J	T	Buy	04/25/16	J		
91.					Buy (add'l)	05/17/16	J		
92.					Buy (add'l)	06/17/16	J		
93.					Buy (add'l)	07/18/16	J		
94.					Sold (part)	08/11/16	J	A	
95.					Buy (add'l)	08/17/16	J		
96.					Buy (add'l)	09/19/16	J		
97.					Buy (add'l)	10/17/16	J		
98.					Buy (add'l)	11/17/16	J		
99.					Buy (add'l)	12/19/16	J		
100. Bright Directions College Savings Northern Bond Fund		None	J	T	Buy	04/25/16	J		
101.					Buy (add'l)	05/17/16	J		
102.					Buy (add'l)	06/17/16	J		

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103.					Buy (add'l)	07/18/16	J		
104.					Sold (part)	08/11/16	J	A	
105.					Buy (add'l)	08/17/16	J		
106.					Buy (add'l)	09/19/16	J		
107.					Buy (add'l)	10/17/16	J		
108.					Buy (add'l)	11/17/16	J		
109.					Buy (add'l)	12/19/16	J		
110. Bright Directions College Savings Oppenheimer Int'l Growth Fund		None	J	T	Buy	04/25/16	J		
111.					Buy (add'l)	05/17/16	J		
112.					Buy (add'l)	06/17/16	J		
113.					Buy (add'l)	07/18/16	J		
114.					Sold (part)	08/11/16	J	A	
115.					Buy (add'l)	08/17/16	J		
116.					Buy (add'l)	09/19/16	J		
117.					Buy (add'l)	10/17/16	J		
118.					Buy (add'l)	11/17/16	J		
119.					Buy (add'l)	12/19/16	J		

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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)

120. Bright Directions College Savings T Rowe Price Large Cap Growth Fund		None	J	T	Buy	04/25/16	J		
121.					Buy (add'l)	05/17/16	J		
122.					Buy (add'l)	06/17/16	J		
123.					Buy (add'l)	07/18/16	J		
124.					Sold (part)	08/11/16	J	A	
125.					Buy (add'l)	08/17/16	J		
126.					Buy (add'l)	09/19/16	J		
127.					Buy (add'l)	10/17/16	J		
128.					Buy (add'l)	11/17/16	J		
129.					Buy (add'l)	12/19/16	J		
130. Bright Directions College Savings T Rowe Price Real Estate Fund		None	J	T	Buy	04/25/16	J		
131.					Buy (add'l)	05/17/16	J		
132.					Buy (add'l)	06/17/16	J		
133.					Buy (add'l)	07/18/16	J		
134.					Sold (part)	08/11/16	J	A	
135.					Buy (add'l)	09/19/16	J		
136.					Buy (add'l)	10/17/16	J		

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)
137.					Buy (add'l)	11/17/16	J		
138.					Buy (add'l)	12/19/16	J		
139. 6720 Jeffery, LLC		None			Sold	07/29/16	M	F	
140. Apple (AAPL)	A	Dividend	L	T					
141. Revolution Lighting (RVLT)		None	J	T					
142. Schwab One Interest Account	A	Interest	J	T					
143. JP Morgan Chase Bank Accounts	A	Interest	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

With respect to the Am. Funds Cap. Income Builder Fund, the fund was erroneously listed in the 2015 report as being "Sold (in part)," when in fact it was sold in its entirety. The information in Column D remains unchanged.

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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/ **John Z. Lee**

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
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