

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Cummings, Jeffrey I.	2. Court or Organization United States District Court - Northern District of Illinois	3. Date of Report 10/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 05/10/2019
7. Chambers or Office Address United States District Court 219 South Dearborn Street 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. Attorney	Miner, Barnhill & Galland, P.C.
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. 1995	Self-directed retirement account at Miner, Barnhill & Galland, P.C.
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Miner, Barnhill & Galland, P.C.	\$158,727.00
2. 2018	Miner, Barnhill & Galland, P.C.	\$111,906.00
3. 2017	Miner, Barnhill & Galland, P.C.	\$270,492.00
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. 2019	HERE Technologies (salary)
2. 2018	HERE Technologies (salary)
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. Exempt				
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.	Exempt		
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.	Navient	Student loan	K
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. MONY Whole Life Insurance Policy #1	A	Dividend	J	T	Exempt				
2. MONY Whole Life Insurance Policy #2	A	Dividend	K	T					
3. NWM Whole Life Insurance Policy #1	C	Dividend	L	T					
4. NWM Whole Life Insurance Policy #2	B	Dividend	K	T					
5. NWM Whole Life Insurance Policy #3	A	Dividend	K	T					
6. IRA #1 (H)									
7. ADV BANK DEP ALLY BANK (ABDXX) (cash)	A	Interest	J	T					
8. INVESCO ENDEAVOR FD CL Y (ATDYX)	A	Dividend	K	T					
9. INVESCO VAN KAMPEN COMSTOCK FD Y (ACSDX)	C	Dividend	K	T					
10. DWS RREEF GLBL INFRASTR FD A (TOLLX)	A	Dividend	J	T					
11. FEDERATED INTL LEADERS FD A (FGFAX)	A	Dividend	K	T					
12. IRA #2 (H)									
13. CAPITAL WORLD GROWTH & INCOME FUND CLASS A (CWGIX)	A	Dividend	J	T					
14. EUROPACIFIC GROWTH FUND CLASS A (AEPGX)	A	Dividend	J	T					
15. THE GROWTH FUND OF AMERICA CLASS A (AGTHX)	A	Dividend	J	T					
16. THE INCOME FUND OF AMERICA CLASS A (AMECX)	A	Dividend	J	T					
17. INTERMEDIATE BOND FUND OF AMERICA CLASS A (AIBAX)	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 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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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☐ 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				
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18. RETIREMENT ACCOUNT #1 (H)									
19. AF TRGT DATE 2030 R6 (RFETX)	E	Dividend	O	T					
20. FID 500 INDEX (FXAIX)	D	Dividend	N	T					
21. FA BALANCED Z (FZAAX)	E	Dividend	N	T					
22. BROKERAGE ACCOUNT #1 (H)									
23. ADV BANK DEP ALLY BANK (ABDXX) (cash)	A	Interest	M	T					
24. AMAZON COM INC (AMZN)		None	K	T					
25. APPLE INC (AAPL)	A	Dividend	K	T					
26. BERKSHIRE HATHAWAY (BRK.B)		None	L	T					
27. CVS HEALTH CORP (CVS)		None	J	T					
28. MCDONALDS CORP (MCD)	B	Dividend	K	T					
29. FEDERATED KAUFMANN LARGE CAP- A (KLCAX)		None	K	T					
30. FEDERATED FLTG RATE STRAT INC A (FRSAX)	C	Dividend	L	T					
31. FEDERATED INTL LEADERS FD A (FGFAX)	A	Dividend	K	T					
32. JOHN HANCOCK FINANCIAL IND CL A (FIDAX)	A	Dividend	J	T					
33. VOYA EQ TR MIDCAP OPPTYS FD CL A (NMCAX)		None	K	T					
34. FT CYBERSECURITY #11 (30307C431)	A	Dividend	K	T					

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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. TOP PICKS SER22 MAY 2018 PORT (30308V446)	A	Dividend	K	T					
36. FT WATER UTILITY INFRA SEL #51 (30309W757)	A	Dividend	K	T					
37. FT ENERGY OPPTY (30309Y654)	B	Dividend	K	T					
38. FT BANKING OPPTY #32 (30310H294)	B	Dividend	K	T					
39. FT DOW TARGET (30310M630)	B	Dividend	K	T					
40. TOP PICKS SER 24 JAN 2019 PORT (30310N572)	A	Dividend	L	T					
41. FT GLOBAL DIVIDEND #58 (30310R110)	B	Dividend	K	T					
42. INV DIVID SUSTAIN 18-2 (46141B314)		None	K	T					
43. INV SELECT 10 INDUS 19-1 (46142X539)	C	Dividend	L	T					
44. INV DIVID SUSTAIN 19-1 (46143A35S)		None	K	T					
45. INV SELECT 10 INDUS 19-2 (46143E191)	B	Dividend	K	T					
46. INV TURNARND STRAT 19-1		None	K	T					
47. FTAI & ROBOTICS OPPTY #2		None							
48. INVESCO BUYOUT OPPTY 17-1		None							
49. JACKSON NATIONAL LIFE PERSPECTIVE II S&P AGGRESSIVE GROWTH PORTFOLIO		None	O	T					
50. BROKERAGE ACCOUNT #2 (H)									

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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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51. ADV BANK DEP ALLY BANK (ABDXX) (cash)	A	Interest	J	T					
52. INVESCO ENDEAVOR FD CL Y (ATDYX)	B	Dividend	K	T					
53. INVESCO VAN KAMPEN COMSTOCK FD Y (ACSDX)	D	Dividend	L	T					
54. DWS RREEF GLBL INFRASTR FD A (TOLLX)	A	Dividend	J	T					
55. FEDERATED INTL LEADERS FD A (FGFAX)	B	Dividend	K	T					
56. BROKERAGE ACCOUNT #3 (H)									
57. ADV BANK DEP ALLY BANK (ABDXX) (cash)	A	Interest	L	T					
58. ALPS ETF TR ALERIAN MLP SBI/CBI ETF (AMLP)	C	Dividend	K	T					
59. INVESCO POWERSHS NASDAQ INTERNET PORT ETF (PNQI)		None	K	T					
60. INVESCO POWERSHS GOLDEN DRAGON CHINA (PGJ)	A	Dividend	K	T					
61. ISHARES TR SELECT DIVID (DVY)	C	Dividend	L	T					
62. ISHARES TR US AER DEF (ITA)	A	Dividend	K	T					
63. ISHARES TR MORTG (REM)	C	Dividend	K	T					
64. SPDR SER TRUST S&P TRANSN (XTN)	A	Dividend	K	T					
65. SPDR SER TRUST S&P BIOTECH CLOSED END SBI/CBI ETF (XBI)	A	Dividend	K	T					
66. SELECT SECT SPDR TR SBI HEALTHCARE (XLV)	A	Dividend	K	T					
67. SELECT SECT SPDR TR SBI INT-FINL (XLF)	A	Dividend	K	T					

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68. SELECT SECT SPDR TR TECH (XLK)	A	Dividend	K	T					
69. SELECT SECT SPDR TR SBI INT-UTILS (XLU)	B	Dividend	K	T					
70. VANGUARD WORLD FDS MATERIALS (VAW)	A	Dividend	K	T					
71. VANGUARD INTL EQ INDX FD FTSE EMR MKT (VWO)	B	Dividend	K	T					
72. VANGUARD INDEX FDS REAL ESTATE ETF (VNQ)	B	Dividend	K	T					
73. BROKERAGE ACCOUNT #4 (H)									
74. GENERAL MNY MKT FUND CL B (GMBXX) (cash)	A	Dividend	J	T					
75. THORNBURG VALUE CLASS A (TVAFX)	A	Dividend	K	T					

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

Part II, line 1: Related holdings are included in Part VII.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Jeffrey I. Cummings**

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