

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/14/2019
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 01/01/2018 to 12/31/2018
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	James Madison Memorial Fellowship Foundation
2.		
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.	1992	WI Department of Employee Trust Funds (retirement account), no control
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. 12/31/2018	Wisconsin Retirement System (state pension)	\$28,713.64
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. Case Western Reserve University School of Law Sumner Canary Lecture	March 6-8, 2018	Cleveland, OH	Lecture	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
2. The Federalist Society for Law & Public Policy Studies, Student Symposium	March 9-11, 2018	Washington, DC	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
3. University of Michigan Law School	March 25-27, 2018	Ann Arbor, MI	Judge Moot Court	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
4. Wabash College Peck Medal Lecture	April 15-17, 2018	Crawfordsville, IN	Lecture	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals

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5.	Georgetown University Law Center	May 23-24, 2018	Washington, DC	Teaching at Educational Seminar	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
6.	James Madison Memorial Foundation	June 16-18, 2018	Washington, DC	Lecture at Summer Institute	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
7.	St. John's School of Law	November 12-13, 2018	Jamaica, NY	Teaching	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
8.	The Federalist Society for Law & Public Policy Studies, National Convention	November 15-17, 2018	Washington, DC	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals

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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.	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.			

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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 I (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 WI Def.Comp.Prog.) (H)		None			Sold	11/06/18	J		
2. T Rowe Price Mid Cap Gr (via WI Def. Comp. Program) (H)	A	Dividend			Sold	11/06/18	J		
3. Fid Contrafund (via WI Def. Comp. Program) (H)		None			Sold	11/06/18	J		
4. Vanguard Admiral Treasury Money Market (via WIDef.Comp.) (H)	A	Dividend			Sold	11/06/18	J		
5. BlackRock US Debt Index Fund (via WI Def. Comp. Program) (H)		None			Sold	11/06/18	J		
6. AllianceBernstein US Gov A (H)	A	Dividend			Sold	10/15/18	J		
7. WI Department of Employee Trust Funds, retirement acct (H)		None	M	T					
8. BMO Harris Bank Accounts	A	Interest	L	T					
9. Pershing FT Unit 6764 75/25 Strategic (X)	A	Dividend	K	T	Distributed (part)	12/31/18	J		
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	
	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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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 2018 was \$1,566 (full Club membership dues for a member of the same age for 2018 were \$3,882). 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.

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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/ **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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