

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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) Lefkow, Joan H.	2. Court or Organization U.S. DISTRICT COURT, NDIL	3. Date of Report 05/25/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Active	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 219 South Dearborn Street Suite 1956 Chicago, IL 60604	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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. Law Board (Advisory)	Northwestern University Law School
2. Executor	Estate: [REDACTED]
3. Adjunct Faculty Member	John Marshall Law School
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.	
2.	
3.	

Lefkow, Joan H.

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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. 2010	John Marshall Law School; Teaching stipend	\$18,000.00
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.				
2. University of Virginia Law School	2/19-2/21/2010	Charlottesville, VA	Judge Moot Court	Round-trip airfare, ground transportation, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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. 	Tuition agreement	K
2. US Employees Credit Union	Credit Card	J
3. Sallie Mae	PLUS Loan	J
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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.	U.S. Employees Credit Union account	A	Int./Div.	J	T					
2.	BROKERAGE ACCOUNT IRA									
3.	- EVSGX	A	Dividend	J	T					
4.	- IEMBX	A	Dividend	J	T	Buy	12/22/10	J		
5.	- CRSAX	A	Dividend	J	T	Buy	01/05/10	J		
6.						Buy	12/20/10	J		
7.						Buy	12/23/10	J		
8.	- DVRBX	A	Dividend	J	T	Buy	12/20/10	J		
9.	- OGBMX	B	Dividend	J	T	Buy	12/22/10	J		
10.	- INPBX	A	Dividend	J	T	Buy	12/22/10	J		
11.	- DBA		None	J	T					
12.	Cash Money Market Ameriprise Financial*		None	J	T					
13.	BROKERAGE ACCOUNT NON-IRA									
14.	- CRSAX		None			Sold	07/23/10	J		
15.	- FLFAX**	A	Dividend	J	T					
16.	- Cash Money Market Ameriprise Finc'l***		None	J						
17.	- BEARX		None			Sold	07/23/10	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 \$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

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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)
18. - WASAX	A	Dividend	J	T					
19. - WMFAX	A	Interest	K	T					
20. - MMHYX (X)	A	Interest	K		Buy	02/10/10	K		
21. - DHGAX (X)	A	Dividend	J	T	Buy	07/23/10	J		
22. BROKERAGE ACCOUNT									
23. - Cash Money Market Ameriprise Finc'l ****		Interest	J	T					
24. - TWTIX	A	Interest	J	T					
25. PROTECTIVE UNIVERSAL LIFE INS (Adj. Life)		None			Sold	06/26/10	K		
26. NW MUTUAL ADJ. COMP. LIFE (X)		None	K	T	Buy	06/26/10	K		
27. ESTATE ****									
28. - Unliquidated contingent fee		None	L	W					
29. Cash Account, Northern Trust Co.					Closed	06/14/10	J		

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$25,000,001 - \$50,000,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000
S = Assessment
W = Estimated

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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

* Part VII, Line 12; Funds are deposited at AMEX Bank, Salt Lake City, UT [REDACTED] and American Express Centurion Bank, Salt Lake City, UT [REDACTED]

** Part VII, Line 15; FLTAX on 2009 report is a typographical error. It should have been "FLFAX."

*** Part VII, Line 16; Funds are deposited at AMEX Bank, Salt Lake City, UT [REDACTED] and American Express Centurion Bank, Salt Lake City, UT [REDACTED]

**** Part VII, Line 23; Funds are deposited at AMEX Bank, Salt Lake City, UT [REDACTED] and American Express Centurion Bank, Salt Lake City, UT [REDACTED]

***** Part VII, Line 27; The estate has a 1/3 contingent interest in an Illinois judgment, representing an attorney's fee, with a value between \$50,000 - \$100,000. All funds at Northern Trust Company were withdrawn, and the account was closed during 2010. I am the sole beneficiary.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/25/2011

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/ Joan H. Lefkow**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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