

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/12/2010
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 01/01/2009 to 12/31/2009
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 _____
3. Executive Committee, Board Member	Federal Judges' Association
4. Adjunct Faculty Member	John Marshall Law School
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.	

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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. 2008-09	John Marshall Law School; Teaching stipend	\$6,000.00
2. 1/09-12/09	Book Sales: "I Speak of Simple Things" (Ampersand, Inc. 2007); SIMPLE THINGS JOINT VENTURE with Judith H. Smith	\$0.00
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. Federal Judges' Association	12/3-4	Washington, D.C.	Board meeting	Round-trip airfare, hotel, meals
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. [REDACTED]	Tuition agreement*	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. U.S. Employees Credit Union account	A	Int./Div.	J	T					
2. BROKERAGE ACCOUNT IRA									
3. - EVSGX	A	Dividend	J	T					
4. - IEMBX (X)			J	T	Buy	10/29/09	J		
5. - CRSAX	A	Dividend	J	T					
6. - VRBX			J	T					
7. - OGMBX	A	Dividend	J	T					
8. - INPBX	A	Dividend	J	T					
9. - AMVBX					Sold	10/29/09	J		
10. - DBA			J	T					
11. Cash Money Market Ameriprise Financial**		None	J	T					
12. BROKERAGE ACCOUNT NON-IRA									
13. - CRSAX	A	Dividend	J	T					
14. - DEAXX***									
15. - FLTAX	A	Dividend	J						
16. - MDIDX					Sold	05/06/09	J		
17. - SRFAX					Sold	05/06/09	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	H = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

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18. - OPGSX					Sold	07/24/09	J		
19. - RFGXX					Sold	01/20/09	J		
20. - SMAVX	A	Int./Div.			Sold	10/27/09	K	A	
21. - Cash Money Market Ameriprise Finc'l****	A	Interest	K	T					
22. - DDMAX					Sold	10/27/09	K	A	
23. - DSX					Sold	07/24/09	J		
24. - OIL					Sold	10/30/09	K	C	
25. - BEARX (X)			J	T	Buy	05/07/09	J		
26. - WASAX (X)	A	Dividend	J	T	Buy	07/27/09	J		
27. - WMFAX (X)	A	Int./Div.			Buy	10/28/09	K		
28. BROKERAGE	A	Int./Div.	J	T					
29. - Cash Money Market Ameriprise Finc'l *****			J	T					
30. - TWTIX	A	Dividend	J	T					
31. PROTECTIVE UNIVERSAL LIFE INS		None	K	U					
32. ESTATE									
33. - Unliquidated contingent fee			L	W					
34. Cash Account, Northern Trust Co.	A	Interest	J	T					

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

*

VI. Although I have reported [REDACTED] loans over the years, I have inadvertently omitted tuition agreements [REDACTED]
For the past seven years, I have had tuition agreements of "K" value code [REDACTED]

**

VII, 1.11 Funds are deposited in amounts <\$1,000 each in the following banks:
Sovereign Bank, Philadelphia, PA
Associated Bank Green Bay, WI
Sun Trust, Atlanta, GA
AMEX Bank, Salt Lake City, UT
Ameriprise Bank, Minneapolis, MN
M and T Trust Co., Buffalo, NY

VII, 1.14 DEAXX (1.16 on the 2008 report) is a typographical error. It should be DEAAX, which was sold 9/30/08. Thus, it does not appear on this report.

VII, 1.21 Funds are deposited as follows:
Sun Trust, Atlanta, GA [REDACTED]
M and I Marshall & Isky Bank, Milwaukee, WI [REDACTED]
New York Community Bank, Wootbu y, NY [REDACTED]

VII, 1.29 Funds are deposited in amounts <\$1,000 in the following banks:
Associated Ba k, Green Bay, WI
Sun Trust, Atlanta, GA
Amerprise Bank, Minneapolis, MN

VII, 1.32 The estate has a 1/3 contingent interest in an Illinois judgment, representing an attorney's fee, with a value between \$50,0001 - \$100,000.
The remainder of the estate is a bank account at Northern Trust Company, with less than \$15,000 cash balance. I am the sole beneficiary.

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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



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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544