

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) Sykes, Diane S.	2. Court or Organization Seventh Circuit United States Court of Appeals	3. Date of Report 05/9/2011
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 01/01/2010 to 12/31/2010
7. Chambers or Office Address 716 United States Court House 517 East Wisconsin Avenue Milwaukee, WI 53202	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. _____	_____
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. _____	_____

Sykes , Diane S.

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/9/2011

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.		
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.	The Federalist Society, National Student Symposium	February 26-28, 2010	Philadelphia, Pennsylvania	Panel Discussant	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
2.	The Federalist Society, Yale University, Student Event	March 30-April 1, 2010	New Haven, Connecticut	Speaker	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
3.	American Constitutional Society, National Convention	June 17-19, 2010	Washington, D.C.	Panel Discussant	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
4.	The Witherspoon Institute, Princeton University	August 10-12, 2010	Princeton, New Jersey	Speaker	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
5.	The Federalist Society, Duke University, Student Event	October 6-10, 2010	Raleigh, North Carolina	Speaker	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting	Date of Report
Sykes, Diane S.	05/9/2011

6.	The Federalist Society, William Mitchell, Warren Burger Lecture	October 11-13, 2010	St. Paul, Minnesota	Speaker	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals
7.	The Federalist Society, National Convention	November 17-21, 2010	Washington, D.C.	Speaker & Conference	Transportation (Airline & Ground), Lodging, Baggage Fees, Parking & Meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/9/2011

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. 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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/9/2011

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.	BGI Mid Cap Equity-Collective W (via WI Def. Comp. Program)	A		J	T					See Part VIII
2.	T Rowe Price Mid Cap Gr (via WI Def. Comp. Program)	A		J	T					See Part VIII
3.	Fid Contrafund (via WI Def. Comp. Program)	A		J	T					See Part VIII
4.	Vanguard Admiral Treasury Money Market (via WI Def. Comp.)	A		J	T					See Part VIII
5.	BGI US Debt Index Fund (via WI Def. Comp. Program)	A		J	T					See Part VIII
6.	AllianceBernstein US Gov A	A		J	T					See Part VIII
7.	WI Department of Employee Trust Funds, retirement account	C	Interest	L	T					
8.	Interest, Ozaukee Bank	A	Interest	J	T					
9.	College Savings Plan #1--See Part VIII	A		J	T					See Part VIII
10.	College Savings Plan #2--See Part VIII	A		J	T					See Part VIII
11.	College Savings Plan #3--See Part VIII	A		J	T					See Part VIII
12.	College Savings Plan #4--See Part VIII	A		J	T					See Part VIII
13.										
14.										
15.										
16.										
17.										

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

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/9/2011

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.
- 2) Part V, Item 1. 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 2010 was \$966 (full Club membership dues for a guest of the same age for 2010 were \$3,130). 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.
- 3) Part VII. The income during reporting period (column B(2)) for Assets 1 through 6 and 9 through 12 is market gain/appreciation.
- 4) Part VII. Line Entry #9: VCSP/College America American Funds Money Market Fund 529A (via NML Investment Services LLC).
- 5) Part VII. Line Entry #10: VCSP/College America American Funds Money Market Fund 529A (via NML Investment Services LLC).
- 6) Part VII. Line Entry #11: Vanguard 529 College Savings Plan Conservative Age-Based Option: Interest Accumulation Portfolio (not a state-sponsored plan).
- 7) Part VII. Line Entry #12: Vanguard 529 College Savings Plan Conservative Age-Based Option: Income Portfolio (not a state-sponsored plan).

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Sykes, Diane S.

Date of Report

05/9/2011

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/ Diane S. Sykes

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