

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report 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 08/13/2009
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 01/01/2008 to 12/31/2008
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.)POSITIONNAME OF ORGANIZATION/ENTITY

1. Law Board (Advisory)	Northwestern University Law School
2. Executor	Estate [REDACTED]
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.)DATEPARTIES AND TERMS

1.	
2.	
3.	

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FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

08/13/2009

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. 2007-08	John Marshall Law School; Teaching stipend	\$12,000.00
2. 1/08-12/08	Book Sales: "I Speak of Simple Things" (Ampersand, Inc. 2007); SIMPLE THINGS JOINT VENTURE with Judith H. Smith	\$1,275.00
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. International Bar Association	10/9-10/17	Buenos Aires, Argentina	Panel member, 2 sessions	Round-trip airfare, meals
2. Federal Judges' Association	12/3-4	Washington, D.C.	Board meeting	Round-trip airfare, hotel, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

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Lefkow, Joan H.

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08/13/2009

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

08/13/2009

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 Month - Day	(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	A	Int./Div.	K						
3. - EVSGX*	A		J	T	Buy	9/19	J		
4. - EMGIX		None			Sold	9/19	J		
5. - CRSAX	A		J	T					
6. - DVRBX		None	J	T	Buy	9/22	J		
7. - MDIFX	A				Sold	9/22	J		
8. - OGMBX	A		J	T					
9. - INPBX		None	J	T	Buy	9/19	J		
10. - RBBBX	A				Sold	9/19	J		
11. - AMVBX		None							
12. - DBA		None	J	T	Buy	12/30	J		
13. - Cash Money Market Ameriprise Financial	A		J	T					
14. BROKERAGE ACCOUNT NON-IRA	D	Int./Div.	M						
15. - CRSAX	A		J	T					
16. - DEAXX	A				Buy	3/5	K		
17. - DEAXX		None			Sold	9/30	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	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)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Lefkow, Joan H.

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. - ETGIX		None			Sold	9/30	J		
19. - DPCAX	A				Sold	3/5	K	B	
20. - WFFAX	A				Sold	3/5	J		
21. - NMTAX		None			Sold	3/5	J	A	
22. - AMVAX	A				Sold	9/30	J		
23. - FLSTX	A				Sold	9/30	J		
24. - AIAVX	A				Sold	12/26	J		
25. - FLTAX	A		J	T	Buy	3/5	J		
26. - MDIDX		None	J	T					
27. - SRFAX		None	J	T					
28. - ORNAX	A				Sold	12/26	J		
29. - OPGSX	A		J	T					
30. - RFGXX		None	J	T	Buy	9/19	J		
31. - RFGXX			J	T	Sold (part)	9/30	J		
32. - SMAVX	A		K	T	Buy	9/30	K		
33. - SASPX		None			Sold	9/30	K		
34. - Money Mkt/Cash Account; Ameriprise Financial	A		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 = \$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 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

08/13/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. - NMTAX		None			Sold	3/5	J		
36. - DDMAX		None	K	T	Buy	9/30	J		
37. - DSX		None	J	T	Buy	10/2	K		
38. - OIL		None	J	T	Buy	12/30	J		
39. BROKERAGE [REDACTED] ACCOUNT [REDACTED]	A	Int./Div.	J	T					
40. - Ameriprise Insured Money Mkt/Cash Account	A		J	T					
41. - ECHMX	A				Sold	7/11	J		
42. - MMHCX	A				Sold	12/30	J		
43. - TWTIX	A		J	T	Buy	12/26	J		
44. PROTECTIVE UNIVERSAL LIFE INS		None	K	U					
45. ESTATE [REDACTED]	A	Interest	L	Q					

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	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
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other			
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Lefkow, Joan H.

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08/13/2009

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

*The statements have a category called "income." They do not identify the nature of the income as dividends, interest, etc.

** The estate has a 1/3 contingent interest in an Illinois judgment, representing an attorney's fee, with a value between \$50,001 - \$100,000.00. 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.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

08/13/2009

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

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2008Report 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 05/02/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address 219 South Dearborn Street Room 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. Executive Committee, Board Member	Federal Judges' Association
4. Adjunct Faculty Member	John Marshall Law School
5.	

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DISCLOSURE OFFICE**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.	

FINANCIAL DISCLOSURE REPORT
Page 2 of 8

Name of Person Reporting

Lefkow, Joan H.

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05/02/2009

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. 2007-08	John Marshall Law School; Teaching stipend	\$12,000.00
2. 1/08-12/08	Book Sales: "I Speak of Simple Things" (Ampersand, Inc. 2007); SIMPLE THINGS JOINT VENTURE with Judith H. Smith	\$1,275.00
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. International Bar Association	10/9-10/17	Buenos Aires, Argentina	Panel member, 2 sessions	Round-trip airfare, meals
2. Federal Judges Association	12/3-4	Washington, D.C.	Board meeting	Round-trip airfare, hotel, meals
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1. Sallie Mae	PLUS loan	K
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

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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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code I (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	A	Int./Div.	K						
3. - ESSGX	A		J	T	Buy	9/19	J		
4. - EMGIX					Sold	9/19	J		
5. - CRSAX	A		J	T					
6. - DVRBX		None	J	T	Buy	9/22	J		
7. - MDIFX					Sold	9/22	J		
8. - OGMBX	A		J	T					
9. - INPBX		None	J	T	Buy	9/19	J		
10. - RBBBX					Sold	9/19	J		
11. - AMVAX					Sold	9/30	J		
12. - DBA			J	T	Buy	12/30	J		
13. - Cash/Money Market	A		J	T					
14. BROKERAGE ACCOUNT NON-IRA	D	Int./Div.	M						
15. - CRSAX	A		J	T					
16. - Dreyfus Group	A		K	T	Sold	9/30	J		
17. - Eaton Vance Group			K	T	Sell	9/30	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	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
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18. - FLSTX					Sold	9/30	J		
19. - FLTAX	A		J	T					
20. - MDIDX		None	J	T					
21. - SRFAX		None	J						
22. - ORNAX					Sold	12/26	J		
23. - OPGSX	A		J	T					
24. - RFGXX		None	J	T	Sold	9/30	J		
25. - SMAVX	A		K	T	Buy	9/30	K		
26. - SASPX					Sold	9/30	J		
27. - Money Mkt/Cash Account	A		J	T					
28. - Columbia Funds Group			J	T					
29. - DDMAX		None	K	T	Buy	9/30	J		
30. - DSX		None	J	T	Buy	10/2	K		
31. - OIL		None	J	T	Buy	12/30	J		
32. BROKERAGE JOINT ACCT [REDACTED]	A	Int./Div.	J						
33. - Ameriprise Insured Money Mkt/Cash Account	A		J	T					
34. - ECHMX					Sold	7/11	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	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
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35. - MMHCX	A				Sold (part)	12/30	J		
36. - TWTIX		None	J	T	Buy	12/26	J		
37.					Sold	12/26	J		
38. PROTECTIVE UNIVERSAL LIFE INS			K	U					
39. ESTATE [REDACTED]	A	Interest	J						
40. SIMPLE THINGS JOINT VENTURE	A		J	T					

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

A = \$1,000 or less
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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)

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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 7 of 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/02/2009

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

Pertaining to Section VII, Investments and Trusts:

* - The statements have a category called "income." It does not identify the nature of the income as dividends, interest, etc.

** - SIMPLE THINGS JOINT VENTURE, Published "I Speak of Simple Things" - a book. See Part III

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Lefkow, Joan H.

Date of Report

05/02/2009

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