

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Wood, Diane P.                                                                                                                       | <b>2. Court or Organization</b><br><br>U.S. Court of Appeals for the Seventh Circuit                                                                                                                                                                                                     | <b>3. Date of Report</b><br><br>05/08/2019                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Chief Circuit Judge (active)                                                  | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2018<br>to<br>12/31/2018 |
| <b>7. Chambers or Office Address</b><br><br>2788F U.S. Courthouse<br>219 S. Dearborn St.<br>Chicago, IL 60604-1805                                                                                        |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Senior Lecturer in Law    | The University of Chicago Law School     |
| 2. Trust, Council, and Board | American Academy of Arts & Sciences      |
| 3. Board                     | Constitutional Rights Foundation Chicago |
| 4. Council                   | American Law Institute                   |
| 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><br>(yours, not spouse's) |
|-------------|-----------------------------------|----------------------------------------|
| 1. 2018     | University of Chicago (Teaching)  | \$28,050.00                            |
| 2. 2018     | LEG, Inc. (West) (Book royalties) | \$917.00                               |
| 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. 2018     | Northwestern Feinberg School of Medicine - Professor of Neurology - salary |
| 2. 2018     | Self-employed Health Care Consultant - Expert Neurologist                  |
| 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. American Law Institute              | January 18-19, 2018         | Philadelphia, PA | Council Meeting | T, F, L                       |
| 2. American Academy of Arts & Sciences | February 7-8, 2018          | Cambridge, MA    | Project Meeting | T, F, L                       |
| 3. University of Texas Law School      | February 14-15, 2018        | Austin, TX       | Speech          | T, F, L                       |
| 4. Salzburg Global Seminar             | February 22-23, 2018        | Washington, DC   | Speech          | T, F, L                       |
| 5. Fordham Law School                  | February 28 - March 1, 2018 | New York, NY     | Speech          | T, F, L                       |
| 6. Stanford Law School                 | March 28-31, 2018           | Beijing, China   | Seminar         | T, F, L                       |

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|     |                                     |                       |                        |                     |         |
|-----|-------------------------------------|-----------------------|------------------------|---------------------|---------|
| 7.  | Yale Law School                     | April 5-7, 2018       | New Haven, CT          | Colloquium          | T, F, L |
| 8.  | American Academy of Arts & Sciences | April 11-14, 2018     | Cambridge, MA          | Governance          | T, F, L |
| 9.  | University of Zurich                | May 14-19, 2018       | Zurich, Switzerland    | Lectures            | T, F, L |
| 10. | Wisconsin State Bar                 | June 21-22, 2018      | Lake Geneva, WI        | Bar Meeting         | T, L    |
| 11. | American Academy of Arts & Sciences | July 17-18, 2018      | Cambridge, MA          | Project Meeting     | T, F, L |
| 12. | Hague Academy of International Law  | August 4-11, 2018     | The Hague, Netherlands | Teaching Course     | T, F, L |
| 13. | University of California-Berkeley   | September 14-16, 2018 | Berkeley, CA           | Seminar             | T, F, L |
| 14. | American Academy of Arts & Sciences | September 16-18, 2018 | New York, NY           | Project Meeting     | T, F, L |
| 15. | American Academy of Arts & Sciences | October 4-7, 2018     | Cambridge, MA          | Fall Induction      | T, F, L |
| 16. | American Academy of Arts & Sciences | October 9, 2018       | Chicago, IL            | Presidential Search | T       |
| 17. | American Law Institute              | October 18-19, 2018   | New York, NY           | Council             | T, F, L |
| 18. | American Law Institute              | November 8-9, 2018    | New York, NY           | Project             | T, F, L |
| 19. | Stanford Law School                 | November 9-11, 2018   | Palo Alto, CA          | Conference          | T, F, L |
| 20. | University College London Law       | November 14-15, 2018  | Washington, DC         | Colloquium          | T, F, L |
| 21. | American Bar Association            | December 1, 2018      | Chicago, IL            | Conference          | T       |

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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.

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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                         |   |          |    |   |  |  |  |  |  |
|-------------------------------------------------------------------------|---|----------|----|---|--|--|--|--|--|
| 1. TIAA Traditional Fund (note 1, Part VIII)                            |   | None     | N  | T |  |  |  |  |  |
| 2. CREF Stock R3 Traditional Mutual Fund (note 1, Part VIII)            |   | None     | O  | T |  |  |  |  |  |
| 3. BMO Harris Bank - Cash Account                                       | B | Interest | N  | T |  |  |  |  |  |
| 4. Chase Bank - Cash Account                                            | A | Interest | O  | T |  |  |  |  |  |
| 5. Ameriprise 403(b) (H) (note 1 for all)                               |   |          |    |   |  |  |  |  |  |
| 6. -RiverSource Flexible Annuity                                        | A | Interest | L  | T |  |  |  |  |  |
| 7. -Ameriprise Brokerage Acct. (H)                                      |   |          |    |   |  |  |  |  |  |
| 8. -Dreyfus Gen. Govt. Sec.                                             | A | Dividend | J  | T |  |  |  |  |  |
| 9. -Columbia Disc. Core Cl. A Mutual Fund                               | A | Dividend | K  | T |  |  |  |  |  |
| 10. -Columbia Select Int'l Equity Cl. A Mutual Fund (Note 2, Part VIII) | A | Dividend | K  | T |  |  |  |  |  |
| 11. -Columbia High Yield Bond Cl. A Mutual Fund                         | B | Dividend | L  | T |  |  |  |  |  |
| 12. Baird Insured Deposit                                               | A | Interest | L  | T |  |  |  |  |  |
| 13. BMJ (Bristol-Myers Squibb) Common Stock                             | A | Dividend | K  | T |  |  |  |  |  |
| 14. Fastenal                                                            | D | Dividend | N  | T |  |  |  |  |  |
| 15. Fidelity Rollover IRA (H) (note 1 for all parts)                    |   |          |    |   |  |  |  |  |  |
| 16. -FDRXX                                                              |   | None     | P1 | T |  |  |  |  |  |
| 17. -CLSPX                                                              |   | None     | M  | T |  |  |  |  |  |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                           |  |      |   |   |  |  |  |  |  |
|-------------------------------------------|--|------|---|---|--|--|--|--|--|
| 18. -FAST                                 |  | None | K | T |  |  |  |  |  |
| 19. -FDVLX                                |  | None | N | T |  |  |  |  |  |
| 20. -GE                                   |  | None | K | T |  |  |  |  |  |
| 21. -TFFYX                                |  | None | M | T |  |  |  |  |  |
| 22. Fidelity SEP IRA (H)                  |  |      |   |   |  |  |  |  |  |
| 23. -FDRXX (note 1)                       |  | None | J | T |  |  |  |  |  |
| 24. -FLPSX (note 1)                       |  | None | M | T |  |  |  |  |  |
| 25. Fidelity Northwestern (H)             |  |      |   |   |  |  |  |  |  |
| 26. -JDVWX (note 1)                       |  | None | M | T |  |  |  |  |  |
| 27. -MVCKX (note 1)                       |  | None | N | T |  |  |  |  |  |
| 28. -VPMAX (note 1)                       |  | None | N | T |  |  |  |  |  |
| 29. Northwestern Mem 401K(H)              |  |      |   |   |  |  |  |  |  |
| 30. -FGCKX (Fidelity Growth Co.) (note 1) |  | None | K | T |  |  |  |  |  |
| 31. -Vanguard Target (note 1)             |  | None | J | T |  |  |  |  |  |
| 32. -JDVWX (note 1)                       |  | None | K | T |  |  |  |  |  |
| 33. Northwestern 457B (H)                 |  |      |   |   |  |  |  |  |  |
| 34. -VTTVX (note 1)                       |  | None | K | T |  |  |  |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. -VTXVX (note 1)                                                                                                         |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 36. Fidelity Puritan Fund                                                                                                   | E                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 37. General Electric Common Stock                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 38. Walmart de Mex.                                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 39. Wells Fargo Acct (H)                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 40. -WMFAX (Municipal Bond-A)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 41. -SADAX (Untra Short Term Income-A)                                                                                      | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 42. -NWMXX (Municipal Money Market)<br>(Note 3, Part VIII)                                                                  | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 43. Zimmer Bionet Holdings                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

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|--------------------------|----------------|
| Wood, Diane P.           | 05/08/2019     |

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

Part VII. Investments and Trusts

Notes:

1. All holdings with a "Note 1" designation are ordinary mutual funds or annuities for which neither I nor my spouse has any say in the investment mix, and which are not income-producing. The value of accumulations increases or decreases depending on the market and premiums paid.
2. Renamed from Columbia Select International equity Cl. A Mutual Fund to Columbia Variable Portfolio - Overseas Core Fund, effective 5/1/2018.
3. Account manager moved all funds from Municipal Money Market-A (WMUXX) to National Tax-Free Money Mkt-A (NWMXX) effective 3/31/2017. I am simultaneously filing a letter amendment to my 2017 AO-10 to reflect this change.

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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 P. Wood**

**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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544