

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

*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) Lynch, Thomas M.	2. Court or Organization U.S. Bankruptcy Court, N.D. Ill.	3. Date of Report 06/09/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/31/2013
5b. ☐ Amended Report		
7. Chambers or Office Address U.S. Courthouse, Chambers 4100 327 S. Church Street Rockford, Illinois 61101		
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.		

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. Adjunct Faculty (not compensated)	Northwestern University School of Law
2. Adjunct Faculty (not compensated)	National Institute for Trial Advocacy
3. Executor (not compensated)	Estate of deceased family member ("Estate #1")
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. 2008	Faegre Baker Daniels Retirement Savings Plan (succeeding Baker & Daniels retirement plans)*, no control
2. 1989	Edwards Wildman Retirement Savings Plan (succeeding Wildman Harrold retirement plans), no control
3. 1984	Employee Savings Plan of Winston & Strawn LLP, no control
4. 1984	Winston & Strawn LLP Retirement Plan, no control

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Faegre Baker Daniels, reimbursement for incorrect 2012 withholding.**	\$1,150.17
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. National Conference of Bankruptcy Judges***	October 31- November 2, 2013 (reimb't rec'd 1/2014)	Atlanta, GA	Attend 2013 Annual Conference	Lodging (partial)
2.				
3.				
4.				
5.				
6.				

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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.	U.S. Department of Education #1	Student loan to family member	K
2.	SLM Corp. ("Sallie Mae")	Student loan to family member	K
3.	U.S. Department of Education #1	Student loan to family member	J
4.	SLM Corp. ("Sallie Mae")	Student loan to family member	J
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. Faege BD Retirement Savings Plan (adm. by Schwab) *									
2. - Vanguard Target Retirement 2020 Fund	D	Dividend	M	T					
3. Edwards Wildman Retirement Savings Plan (Mass Mutl, adm)									
4. - Invesco Stable Value Fund	D	Dividend	N	T					
5. - MML Income and Growth Portfolio Fund (Mass Mutual)	A	Dividend	K	T					
6. Employee Savings Plan of Winston & Strawn LLP (Fid'ty, adm.)									
7. - Fidelity MIP II Class 1 Bond Fund	A	Dividend	K	T					
8. Winston & Strawn LLP Retirement Plan									
9. - Fidelity MIP II Class 1 Bond Fund	A	Dividend	K	T					
10. Fidelity SEP IRA									
11. - Fidelity Cash Reserves	A	Interest	K	T					
12. UBS Financial Services Inc. Ind'l IRA (UBS#1)									
13. - Pace Int'l Equity Investments Class A Fund	B	Dividend	J	T					
14. UBS Financial Services Inc. Ind'l IRA (UBS#2)									
15. - Invesco American Franchise Fund Class A	C	Dividend	K	T					
16. UBS Financial Services Inc. Investment Account (UBS#3)									
17. - UBS Bank USA deposit account	A	Interest	K	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	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. 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. US Savings Bonds (fbo family member) #1	A	Interest	J	T					
19. US Savings Bonds (fbo family member) #2	A	Interest	J	T					
20. Beverly Bank & Trust Co., N.A.									
21. - deposit account #1	A	Interest	J	T					
22. - deposit account #2	A	Interest	J	T					
23. - Certificate of Deposit #A (fbo family member)	A	Interest	J	T					
24. - deposit account #3 (fbo family member)	A	Interest	J	T					
25. - Certificate of Deposit #B (fbo family member)	A	Interest	J	T					
26. - deposit account #4 (fbo family member)	A	Interest	J	T					
27. Estate #1****									
28. - AT&T common stock	A	Dividend	J	T					
29. -Fifth Third Bank / State of Ill. Treasurer - deposit acnts.		None	K	W					
30.									
31.									
32.									

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

[*] Re Part II, "Agreements", Line 1; and Part VII, "Investments and Trusts", Line 1:

The law firms of Baker & Daniels LLP and Faegre & Benson LLP merged in 2012. In early 2013, the two firm's respective retirement plans, including mine, were converted into the Faegre BD Retirement Savings Plan. The fund in which I was invested did not change with the conversion.

[**] Re Part III.A, "Non-Investment Income":

In 2013, Faegre, Baker & Daniels reimbursed \$1,150.17 that it had incorrectly withheld from my earnings during 2012, my last year at that firm and before I took the bench. This payment does NOT in any way constitute sharing in any profits earned or other earnings after my departure from that firm in 2012.

[***] Re Part IV, "Reimbursements":

The NCBJ did not complete it processing and payment of my 2013 reimbursement request until 2014.

[****] Re Part VII, "Investments and Trusts", Line 27 and 29, entries for "Estate #1":

This is the estate of a deceased family member. The estate is in the process of closing and is attempting to locate, identify and recover any assets to which it may have a claim. The estate has been informed that deposit account[s] to which it may have a claim (the "Fifth Third Bank deposit account[s]") may have been turned over to the State of Illinois under abandonment statutes. The estate is attempting to identify and recover any funds from said account[s]l. The value reported on line 29 represents the estate's best estimate of the possible value of the account[s] based on scattered and incomplete information and it does not represent the confirmed actual value of assets that can be recovered. The estate is not aware that said funds earned interest in 2013.

The estate also is attempting to ascertain the deceased's possible holdings, if any, in the common stock of the former NYNEX Corp., US West Corp., Bell South Corp. and SBC Corp. At this time, the estate is not aware whether it in fact held in 2013 or as the date of this report, any interest in the shares of stock other than the common stock identified on Line29 of Part VII.

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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/ **Thomas M. Lynch**

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
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