

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Wood, Diane P.	2. Court or Organization U.S. Court of Appeals for the Seventh Circuit	3. Date of Report 05/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 2788F U.S. Courthouse 219 S. Dearborn St. Chicago, IL 60604-1805		
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. 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 (to 11/1/2019)
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> (yours, not spouse's)
1. 2019	University of Chicago (Teaching)	\$28,440.00
2. 2019	LEG, Inc. (West) (Book royalties)	\$2,527.00
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. 2019	Northwestern University Feinberg School of Medicine - Professor of Neurology - salary
2. 2019	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 Academy of Arts & Sciences	January 23-24, 2019	Cambridge, MA	Project Meeting	T, F, L
2. Renaissance Weekend	February 15-18, 2019	Austin, TX	Conference	F, L
3. Seventh Circuit Bar Association	March 15, 2019	Chicago, IL	Conference	F
4. NYU Law School	March 26-27, 2019	New York, NY	Moot Court	T, F, L
5. ABA Antitrust Section	March 27, 2019	Washington, DC	Panel Talk	T
6. American Academy of Arts & Sciences	March 31-April 2, 2019	Dallas, TX	Project Meeting	T, F, L

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7.	PennLaw Center for Asian Law	April 5-6, 2019	Philadelphia, PA	Keynote Speaker	T, F, L
8.	American Academy of Arts & Sciences	April 10-12, 2019	Cambridge, MA	Governance Meeting	T, F, L
9.	University of Toulouse, IAST Foundation	April 16-20, 2019	Toulouse, France	Lectures	T, F, L
10.	University of Chicago	May 19-22, 2019	Washington, DC	ALI Annual Meeting	T, F, L
11.	American Law Institute	September 18-19, 2019	New York, NY	Project Meeting	T, F, L
12.	NYU Law School	September 26, 2019	New York, NY	Conference	T, F
13.	American Academy of Arts & Sciences	October 10-13, 2019	Cambridge, MA	Fall Induction Meetings	T, F, L
14.	American Law Institute	October 17-18, 2019	New York, NY	Council	T, F, L
15.	Duke University	November 7-8, 2019	Durham, NC	Planning Conference	T, F, L
16.	University of Haifa (Israel)	December 6-22, 2019	Haifa, Israel	Teaching	T, L
17.					
18.					
19.					
20.					
21.					

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. TIAA Traditional Fund (note 1, Part VIII)		None	N	T					
2. CREF Stock R3 Traditional Mutual Fund (note 1, Part VIII) (note 1)		None	P1	T					
3. BMO Harris Bank - Cash Account	D	Interest	O	T					
4. Chase Bank - Cash Account	A	Interest	N	T					
5. Ameriprise 403(b) (H)									
6. RiverSource Flexible Annuity		None	L	T					
7. Ameriprise Brokerage Acct. (H)									
8. Dreyfus Gen. Govt. Sec.	A	Dividend	J	T					
9. Columbia Disc. Core Cl. Mutual Fund	A	Dividend	K	T					
10. Columbia Select Int'l Equity	A	Dividend	K	T					
11. Columbia High Yield Bond	C	Dividend	L	T					
12. Baird Insured Deposit	A	Interest	L	T					
13. BMY (Bristol-Myers Squibb) Common Stock	A	Dividend	K	T					
14. Fastenal	D	Dividend	N	T					
15. Fidelity Rollover IRA (H)									
16. FDRXX		None	M	T					
17. CLSPX		None	N	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

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.)

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18. FAST		None	L	T					
19. FDVLX		None	N	T					
20. GE		None	K	T					
21. TFFYX		None	M	T					
22. Fidelity SEP IRA (H)									
23. FDRXX		None	J	T					
24. FLPSX		None	M	T					
25. Fidelity Northwestern (H)									
26. JDVWX		None	N	T					
27. MVCKX		None	N	T					
28. VPMAX		None	N	T					
29. Northwestern Mem 401(k) (H)									
30. FGCKX (Fidelity Growth)		None	L	T					
31. Vanguard Target		None	L	T					
32. JDVWX (Y) (note 2)									
33. BPLIX (X) (note 2)		None	K	T	Buy	07/01/19	K		Plan Admin
34. Northwestern 457(b) (H)									

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35. VTTVX		None	K	T					
36. VTXVX (note 1)		None	N	T					
37. Fidelity Puritan Fund	C	Dividend	M	T					
38. General Electric Common Stock	A	Dividend	J	T					
39. Walmart de Mex.	A	Dividend	K	T					
40. Wells Fargo (H)									
41. WMFAX (Municipal Bond-A)	A	Dividend	J	T					
42. SADAX (Ultra Short Term Income-A)	D	Dividend	N	T					
43. NWMXX (Municipal Money Market)	B	Dividend	M	T					
44. Zimmer Biomet Holdings	A	Dividend	J	T					
45. JPMorgan Managed Brokerage (X) (note 3)	B	Interest	N	T	Buy	11/20/19	N		Self-cash
46. Vanguard Inst. Idx. Inst., Plus (X)		None	J	T	Buy	01/01/19	J		University of Chicago
47. E*Trade Cash (X) (note 3)	A	Interest	N	T	Buy	01/01/19	N		Self-cash

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(See Columns B1 and D4)

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(See Columns C1 and D3)

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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. The account manager swapped out the JDVWX fund for the BPLIX fund in the middle of the year. Neither I nor my husband had any say in that exchange, which was an even exchange without profit or loss.
3. My husband and I moved some available cash into the JPMorgan Managed Brokerage account and the E*Trade Cash Account. This accounts for the appearance of these two new items.

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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