

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) Lynch, Thomas M.	2. Court or Organization U.S. Bankruptcy Court, N.D. Ill.	3. Date of Report 05/15/2020
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 ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. Courthouse, Chambers 4100 327 S. Church Street Rockford, Illinois 61101		
IMPORTANT NOTES: <i>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>		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Faculty (compensated)	Northwestern University Pritzker School of Law
2. Adjunct Faculty (not compensated)	National Institute for Trial Advocacy
3. Executor (not compensated)	Estate of deceased [REDACTED] member
4. Officer (not compensated)	Federal Bar Association P.M. Mahoney Chapter (Rockford, IL)
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2008	Faegre Baker Daniels Retirement Savings Plan, no control
2.	
3.	
4.	
5.	

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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	Northwestern Univ. Pritzker School of Law (adjunct faculty stipend)	\$1,000.00
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. National Conference of Bankruptcy Judges	10/30/2019 to 11/3/2019	Washington, D.C.	Attend annual meeting of the conference and judges committee meeting	Lodging (partial), registration.
2.				
3.				
4.				
5.				

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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. U.S. Department of Education	Student loan to [REDACTED] member	J
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 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. Faegre BD Retirement Savings Plan (adm'd by Schwab)(H):									
2. - Vanguard Target Retirement 2020 Fund	D	Dividend	M	T					
3. Fidelity SEP IRA(H):									
4. - Fidelity Cash Reserves	A	Interest	K	T					
5. UBS Financial Services Inc Ind'l IRA (UBS#1)(H):									
6. - Pace Int'l Equity Investments Class A Fund	A	Int./Div.	J	T					
7. UBS Financial Services Inc Ind'l IRA (UBS#2)(H):									
8. - Invesco American Franchise Fund Class A	C	Int./Div.	L	T					
9. Beverly Bank & Trust Co., N.A.(H):									
10. - deposit accounts	A	Interest	L	T					
11. █████ Member Estate (see Part VIII, fn*) (H):									
12. - AT&T common stock	A	Dividend	J	T					
13. - Fifth Third Bank / State of Ill. held deposit accounts		None	J	W					
14. -Beverly Bank Estate Account (X)	A	Interest	J	T					
15.									
16.									
17.									

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 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
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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)	(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)
18.									
19.									
20.									
21.									
22.									
23.									

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

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

Re Part VII ("Investments and Trusts") lines 11 through 14 (entries for "Estate"):

This concerns the estate of a deceased 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. In 2018, the estate redeemed what it then believed to be the AT&T shares owned by the deceased in the transaction described at line 21 in Part VII of the Financial Disclosure Report for 2018. As reported then and in previous years, the estate is attempting to ascertain the deceased's claims, if any, in stock of former "Bell" companies. In 2019 the estate learned of the deceased's interest in AT&T shares that had not been redeemed. The interest earned and estimated value of those shares is reported at Part VII, line 12 of this report. The estate intends to redeem these shares shortly.

The estate was informed that the deposit account(s) to which it may have a claim (the "Fifth Third Bank deposit account(s)") was paid to the State of Illinois by the bank. The estate is attempting to identify and recover any recoverable funds attributable to this/these account(s) to which it now may have a claim. The value reported on line 13 represents the estate's best estimate of the possible value of the account(s) based on scattered and incomplete information and does not represent their actual value, if any. The estate is not aware of any related interest earned in 2019. The estate is not optimistic that these funds can be recovered.

The estate also is attempting to ascertain the deceased's possible holdings, if any, in common stock of the former NYNEX Corp, US West Corp, SBC Corp., or additionally in Bell South Corp./ AT&T. At this time, the estate is not aware whether in 2019 or thereafter it held/holds any interest in shares of such stock or interest in other stock other than the common stock identified at line 12.

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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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