

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) Cummings, Jeffrey I.	2. Court or Organization United States District Court - Northern District of Illinois	3. Date of Report 08/03/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (FT)	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 United States District Court 219 South Dearborn Street Chicago, Illinois 60604		
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Attorney	Miner, Barnhill & Galland, P.C.
2.	
3.	
4.	
5.	

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 1995	Self-directed retirement account at Miner, Barnhill & Galland, P.C.
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	Miner, Barnhill & Galland, P.C.	\$292,911.00
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. 2019	HERE Technologies (salary)
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.				
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. Navient	Student loan	K
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. Individual Assets (H)									
2. Bank of America (X)	A	Interest	K	T					
3. MONY Life Ins Policy #1	A	Dividend	J	T					
4. MONY Life Ins Policy #2	A	Dividend	K	T					
5. NWM Life Ins Policy #1	B	Dividend	L	T					
6. NWM Life Ins Policy #2	A	Dividend	K	T					
7. NWM Life Ins Policy #3	A	Dividend	K	T					
8. IRA #1 (H)									
9. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	J	T					
10. Invesco Endeavor Fd Cl Y (ATDYX)	A	Dividend	K	T					
11. Invesco Van Kampen Comstock Fd Y (ACSDX)	C	Dividend	K	T					
12. DWS RREEF Gbl Infrastr Fd A (TOLLX)	A	Dividend	J	T					
13. Federated Intl Leaders Fd A (FGFAX)	A	Dividend	K	T					
14. IRA #2 (H)									
15. Capital World Growth & Income Fund Class A (CWGIX)	A	Dividend	J	T					
16. Europacific Growth Fund Class A (AEPGX)	A	Dividend	J	T					
17. The Growth Fund Of America Class A (AGTHX)	A	Dividend	J	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

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Name of Person Reporting

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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. The Income Fund Of America Class A (AMECX)	A	Dividend	J	T					
19. Intermediate Bond Fund Of America Class A (AIBAX)	A	Dividend	J	T					
20. RETIREMENT ACCOUNT #1 (H)									
21. AF Trgt Date 2030 R6 (RFETX)	E	Dividend	O	T	Buy (add'l)	12/05/19	J		
22. FID 500 Index (FXAIX)	D	Dividend	N	T	Buy (add'l)	12/05/19	J		
23. FA Balanced Z (FZAAX)	D	Dividend	N	T	Buy (add'l)	12/05/19	J		
24. BROKERAGE ACCOUNT #1 (H)									
25. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	M	T					
26. Amazon Com Inc (AMZN)		None	K	T					
27. Apple Inc (AAPL)	A	Dividend	K	T					
28. Berkshire Hathaway (BRK.B)		None	L	T					
29. CVS Health Corp (CVS)	A	Dividend	J	T	Buy (add'l)	04/02/19	J		
30. McDonalds Corp (MCD)	A	Dividend	K	T					
31. Federated Kaufmann Large Cap-A (KLCAX)	B	Dividend	K	T					
32. Federated Fltg Rate Strat Inc A (FRSAX)	C	Dividend	L	T					
33. Federated Intl Leaders Fd A (FGFAX)	A	Dividend	K	T					
34. John Hancock Financial Ind Cl A (FIDAX)	A	Dividend	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	

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Name of Person Reporting

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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)
35. Voya Eq Tr Midcap Opptys Fd Cl A (NMCAX)	B	Dividend	K	T					
36. ETF Managers TR Prime Cyber Security (HACK)		None	J	T	Buy	12/19/19	K		
37. Vanguard Index FDS S&P 500 ETF (VOO)	A	Dividend	K	T	Buy	12/19/19	K		
38. FT Cybersecurity #11 (30307C431)	A	Dividend	K	T					
39. Top Picks Ser 22 May 2018 Port (30308V446)	A	Dividend			Redeemed	07/10/19	K		
40. FT Water Utility Infra Sel #51 (30309W757)	A	Dividend	K	T					
41. FT Energy Oppty (30309Y654)	A	Dividend			Redeemed (part)	09/25/19	J		
42.					Redeemed	12/18/19	K		
43. FT Banking Oppty #32 (30310H294)	A	Dividend	K	T					
44. FT Dow Target (30310M630)	B	Dividend	K	T					
45. Top Picks Ser 24 Jan 2019 Port (30310N572)	A	Dividend	L	T					
46. FT Global Dividend #58 (30310R110)	A	Dividend	K	T					
47. Top Picks Ser 26 Jul 2019 Port (30311C27B)	A	Dividend	K	T	Buy	07/23/19	K		
48. FT Water Utility Sel #56 (30312E679)		None	K	T	Buy	12/19/19	K		
49. Inv Divid Sustain 18-2 (46141B314)	A	Dividend	K	T					
50. Inv Select 10 Indus 19-1 (46142X539)	B	Dividend	L	T					
51. Inv Divid Sustain 19-1 (46143A35S)	A	Dividend	K	T	Buy (add'l)	04/02/19	K		

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	
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	(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)
52. Inv Turnaround Strat 19-1 (46143C476)	A	Dividend	K	T	Buy (add'l)	05/01/19	K		
53. Inv Select 10 Indus 19-2 (46143E191)	A	Dividend	K	T	Buy (add'l)	04/02/19	K		
54. FT AI & Robotics Oppty #2		None			Redeemed	04/09/19	J		
55. Invesco Buyout Oppty 17-1	A	Dividend			Redeemed	04/30/19	K		
56. Jackson Natuional Life Perspective II S&P Aggressive Growth Portfolio		None	O	T					
57. BROKERAGE ACCOUNT #2 (H)									
58. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	J	T					
59. Invesco Endeavor Fd Cl Y (ATDYX)	B	Dividend	K	T					
60. Invesco Van Kampen Comstock Fd Y (ACSDX)	C	Dividend	L	T					
61. DWS RREEF Glbl Infrastr Fd A (TOLLX)	A	Dividend	J	T					
62. Federated Intl Leaders Fd A (FGFAX)	A	Dividend	K	T					
63. BROKERAGE ACCOUNT #3 (H)									
64. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	K	T					
65. Alps ETF Tr Alerian MLP SBI/CBI ETF (AMLP)	B	Dividend	K	T	Buy (add'l)	08/22/19	K		
66. Invesco Powershs Nasdaq Internet Port ETF (PNQI)		None	K	T					
67. Invesco Powershs Golden Dragon China (PGJ)	A	Dividend	K	T					
68. iShares Tr Barclays 7-10 Yr (IEF)		None			Buy	08/09/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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	(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)
69.					Sold	08/22/19	K	A	
70. iShares Tr Select Divid (DVY)	B	Dividend	L	T					
71. iShares Tr US Aer Def (ITA)	A	Dividend	K	T					
72. iShares Tr Mortg (REM)	B	Dividend	K	T					
73. SPDR Ser Trust S&P Transn (XTN)	A	Dividend	K	T					
74. SPDR Ser Trust S&P Biotech Closed End SBI/CBI ETF (XBI)	A	Dividend	K	T					
75. Select Sect SPDR Tr SBI Healthcare (XLV)	A	Dividend	K	T					
76. Select Sect SPDR Tr SBI Int-Finl (XLF)	A	Dividend	K	T					
77. Select Sect SPDR Tr Tech (XLK)	A	Dividend	K	T					
78. Select Sect SPDR Tr SBI Int-Utills (XLU)	A	Dividend			Sold	11/08/19	K	D	
79. Vaneck Vectors ETF Gold Miners (GDX)	A	Dividend	K	T	Buy	08/09/19	K		
80. Vaneck Vectors ETF Semiconductors (SMH)	A	Dividend	K	T	Buy	11/08/19	K		
81. Vanguard World Fds Materials (VAW)	A	Dividend			Sold	08/09/19	K	B	
82. Vanguard Intl Eq Indx Fd FTSE Emr Mkt (VWO)	A	Dividend	K	T					
83. Vanguard Index Fds Real Estate ETF (VNQ)	B	Dividend	K	T					
84. BROKERAGE ACCOUNT #4 (H)									
85. General Mny Mkt Fund Cl B (GMBXX) (cash) (Y)									

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
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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	

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)
86. NM FDIC Insured Deposit Program (cash) (X)	A	Dividend	J	T					
87. Thornburg Value Class A (TVAFX)	A	Dividend	L	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	
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(See Column C2)	U =Book Value	V =Other	W =Estimated		

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

Part II: Related holdings are included in Part VII.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Jeffrey I. Cummings**

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