

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Leinenweber, Harry D.	2. Court or Organization U.S.D.C. (ILLINOIS NORTHERN)	3. Date of Report 04/30/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT COURT JUDGE (Senior)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address Suite #1946 219 S. Dearborn Street Chicago, IL 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Life Member	National Conference of Commissioners on Uniform State Laws
2. Member, Board of Directors	Good Shepherd Manor, Momence, Illinois
3.	
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.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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. 2016	Illinois General Assembly Retirement	\$15,939.84
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. 2016	Dreyfus Florida Muni Money Market Fund - Director Fees
2. 2016	Dreyfus NJ Muni Bond Fund - Director Fees
3. 2016	Dreyfus NY Tax Exempt Bond Fund - Director Fees
4. 2016	Dreyfus Global Investing - Director Fees
5. 2016	Dreyfus Strategic World Investment Fund - Director Fees
6. 2016	Dreyfus Strategic World Investment Fund - Director Fees
7. 2016	Dreyfus Strategic World Investment Fund - Director Fees
8. 2016	Dreyfus Florida Intermediate Muni Bond Fund - Director Fees
9. 2016	Dreyfus Strategic World Investment Fund - Director Fees
10. 2016	Dreyfus Strategic World Investment Fund - Director Fees
11. 2016	Dreyfus Strategic World Investment Fund - Director Fees
12. 2016	Dreyfus Investor GNMA Fund - Director Fees
13. 2016	Dreyfus 100% U.S. Treasury Short-Term Fund - Director Fee
14. 2016	Dreyfus 100% U.S. Treasury Intermediate Term Fund - Director Fees
15. 2016	Dreyfus 100% U.S. Treasury Money Market Fund - Director Fees

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

16. 2016	Office of Personnel Management - Congressional Retirement
17. 2016	Dreyfus Strategic Growth fund - Director Fees
18. 2016	Neiman Marcus - Residuals from Previous Directorship *See Section VIII for Additional Comments.

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.					

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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. J.P. Morgan Chase checking account	C	Interest	K	T					*See Notes in Section VIII
2. J.P. Morgan Chase checking account	C	Interest	J	T					*See Notes in Section VIII
3. J.P. Morgan Chase savings account	C	Interest	M	T					*See Notes in Section VIII
4. Nuveen High Yield Muni (NHMRK)	A	Interest			Sold	05/02/16	J	A	
5. Nuveen Short Duration High (NVHIX)	A	Interest			Sold	05/02/16	J	A	
6. Vanguard Interm Term Tax (VWIUX)	B	Interest	K	T					
7. Double Line Total Ret (DBLTX)	D	Interest	N	T					
8. Fidelity Floating Rate (FFRHX)	A	Interest			Sold	05/27/16	L	C	
9. JP Morgan High Yield (OHYFX)	C	Interest			Buy	05/22/16	L		
10. JP Morgan High Yield (OHYFX)	C	Interest			Sold	10/18/16	M	B	
11. Loomis Sayles Core Plus (NERYX)	C	Interest			Sold	10/18/16	M	B	
12. Metropolitan West Total (MWTIX)	D	Interest	N	T					
13. Vanguard Inflation (VAIPX)	C	Interest			Sold	10/18/16	L	A	
14. Vanguard Total Bond (VBLIX)	C	Interest	N	T					
15. Cohen & Steers Inst Realty (CSRIX)	A	Interest			Sold	01/15/16	J	A	
16. Cohen & Steers Inst Realty (CSRIX)		None			Buy	02/16/16	K		
17. Cohen & Steers Inst Realty (CSRIX)	B	Dividend			Sold	10/18/16	K	C	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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. DFA Emerging Market Core (DFCEX)	A	Dividend	K	T	Sold (part)	10/18/16	K	A	
19. DFA Intl. Core Equity Part (DFIEX)	C	Dividend	M	T	Buy	01/27/16	L		
20. DFA Intl. Core Equity Part (DFIEX)	C	Dividend	M	T	Buy	02/16/16	K		
21. DFA Small Cap (DISVX)	B	Dividend	K	T	Sold (part)	10/18/16	K	A	
22. DFA Tax Manager Intl. (DTMIX)	A	Dividend			Sold	01/15/16	M	A	
23. Harbor Intl. (HAINX)	C	Dividend	M	T					
24. Touchstone Sands Cap (CISGX)	B	Dividend			Sold	10/18/16	K	A	
25. Touchstone Sands Cap (CISGX)	B	Dividend			Sold	10/18/16	K	A	
26. WHV Intl. Energy Fund (WHVIX)	A	Dividend			Sold	01/27/16	M	A	
27. Cullen High Div. Equity Fund (CHDUX)	A	Dividend			Sold	01/15/16	L	A	
28. Diamond Hill (DHSIX)	A	Dividend	K	T	Sold (part)	01/15/16	J	A	
29. SPDR Dow Jones Intl. (RWX)	B	Dividend			Sold (part)	01/15/16	K	A	
30. SPDR Dow Jones Intl. (RWX)	B	Dividend			Buy	02/16/16	K		
31. SPDR Dow Jones Intl. (RWX)	B	Dividend			Sold	10/18/16	L	B	
32. UBS AG Jersey (MLPI)	C	Dividend	L	T					
33. Goldman Sachs (GSC)	A	Dividend			Sold	01/15/16	L	A	
34. I Shares Core U.S. Value (IUSV)	C	Dividend	M	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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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)

35. 1 Shares MSCI EAFE (EFG)	B	Dividend			Sold	03/07/16	K	A	
36. 1 Shares (EEMV)		None			Buy	01/15/16	L		
37. 1 Shares (EEMV)	B	Dividend			Sold	10/18/16	K	A	
38. AT&T	G	Distribution	P1	T	Distributed (part)	02/01/16	M		*See Notes in Section VIII
39. Ryder Systems (R)	G	Distribution			Sold	05/18/16	M	A	*See Notes in Section VIII
40. Ryder Systems (R)	B	Dividend	L	T	Sold (part)	05/18/16	L	A	*See Notes in Section VIII
41. Insignia Bank		None	K	W					
42. Proctor & Gamble Stock Option		None			Buy	09/09/16	N		*See Notes in Section VIII
43. Proctor & Gamble Stock		None			Sold	09/09/16	N	A	*See Notes in Section VIII
44. Vanguard High Yield Index (VWEAX)	B	Dividend	M	T	Buy	09/12/16	M		
45. Aspiriant Risk Management (RMEAX)	E	Dividend	O	T	Buy	01/15/16	N		
46. Aspiriant Risk Management (RMEAX)	E	Dividend	O	T	Buy	10/12/16	N		
47. Aspiriant Defensive (RMDFX)	E	Dividend	N	T	Buy	10/18/16	N		
48. Dreyfus Research Growth (DWOLX)	C	Dividend	K	T	Buy	02/16/16	L		
49. Dreyfus Research Growth (DWOLX)	C	Dividend	K	T	Sold (part)	10/18/16	L	C	
50.									

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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

III. - B. Spouse's Non-Investment Income

19. Spouse was a former director of the parent company of Neiman Marcus. She receives a discount for retail purchases.

VII. - Investment and Trusts.

1. This J.P. Morgan Chase account is a personal checking account. Deposits and withdrawals are made throughout the year.

2. This J.P. Morgan Chase account is a personal checking account. Deposits and withdrawals are made throughout the year.

3. This J.P. Morgan Chase account is a personal savings account.

35. Spouse received deferred stock units as partial compensation as a Director. The value of the units are distributed in equal annual installments through 2022.

39,40. Ryder gave spouse restricted stock as partial compensation as a Director. The sales restriction is removed and a portion is sold. This is the final restricted stock option.

42,43. Spouses' Procter & Gamble stock option for purchase of common stock was exercised and the stock was purchased and immediately sold.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Leinenweber, Harry D.

Date of Report

04/30/2018

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/ **Harry D. Leinenweber**

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