

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) Lefkow, Joan H.	2. Court or Organization U.S. District Court, NDIL	3. Date of Report 08/04/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Senior	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 219 South Dearborn Street Room 2286 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Law Board (Advisory)	Northwestern Pritzker School of Law
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.	
2.	
3.	

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Name of Person Reporting	Date of Report
Lefkow, Joan H.	08/04/2020

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.		
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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Lefkow, Joan H.	08/04/2020

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.		

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Name of Person Reporting

Lefkow, Joan H.

Date of Report

08/04/2020

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. Northwestern Mutual Whole Life Insurance	B	Dividend	K	T					
2. U.S. Employees Credit Union Cash Acct.	A	Int./Div.	K	T					
3. Joan H Lefkow IRA NFS (H)									
4. - Preferred Apt Cmnty (APTS)	A	Dividend	J	T	Buy	02/19/19	J		
5. - Artisan Global Opportunities Inv (ARTRX)	A	Distribution	J	T	Buy	02/19/19	J		
6. - Calamos Market Neutral CL I (CMNIX)	A	Dividend	J	T	Buy	02/19/19	J		
7. - Deer Park Total Return Credit Fund I (DPFNX)	A	Dividend	J	T	Buy	02/19/19	J		
8. - First Eagle Global Class I (SGIIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
9.	A	Distribution	J	T					
10. - FMI International Fund Institutional (FMIYX)	A	Dividend	J	T	Buy	02/19/19	J		
11. - Ivy Mid Cap Income Oporrutities CL I (IVOIX)	A	Dividend	J	T	Buy	02/19/19	J		
12.	A	Distribution	J	T					
13. - Janus Henderson Balanced I (JBALX)	A	Dividend	J	T	Buy	02/19/19	J		
14.	A	Distribution	J	T					
15. - MFS Value Fund Class I (MEIIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
16.	A	Distribution	J	T					
17. - Monetta Core Growth Fund (MYIFX)	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

Lefkow, Joan H.

Date of Report

08/04/2020

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☐ 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.	A	Distribution	J	T					
19. - Parnassus Core Equity Instl (PRILX)	A	Dividend	J	T	Buy (add'l)	02/19/19	J		
20.	A	Distribution	J	T					
21. - Resource Real Estate Diversified Inc W (WRREX)	B	Dividend	K	T					
22. - Guggenheim Floating Rate Strtga Fd Instl (GIFIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
23. - Hartford World Bond Fund CL I (HWDIX)	A	Dividend	J	T					
24.	A	Distribution	J	T					
25. - Lord Abbett Short Duration Income CL F (LDLFX)	A	Dividend	J	T	Buy (add'l)	02/19/19	J		
26. - Pimco Income Fund Institutional Fund (PIMIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
27. - Pimco RAE Worldwide Long Short Plus Inst (PWLIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
28. - Principal Gloval Diversified Inc Inst (PDGIX)	A	Dividend	J	T	Redeemed (part)	02/19/19	J	A	
29. Fidelity Government Cash Reserves (FDRXX)	A	Dividend	J	T					
30. - Double Line Core Bond CI I (DBLFX)	A	Dividend			Redeemed	02/19/19	J	A	
31. - Oakmark Int'l (OAYIX)	A	Dividend			Redeemed	02/19/19	J	A	
32. - Vanguard Wellsy Income (VMIX)	A	Dividend			Redeemed	02/19/19	J	B	
33.									
34. Lefkow Family Trust NFS (H)									

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	

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. - Cash	A	Int./Div.	L	T					
36. - AB Equity Income Advisor Class (AUIYX)	A	Dividend	J	T					
37.	A	Distribution	J	T					
38. - Artisan Global Opporunitites Inv (ARTRZ)	A	Distribution	J	T					
39. - Chevron Corp New Com (CVX)	A	Dividend	J	T					
40. - Hines Gloval Income Trust Inc CL IX	B	Dividend	K	T					
41. - Kraft Heinz CO COM (KHC)	A	Dividend	J	T	Buy	08/30/19	J		
42. - Royal Dutch Shell Plc Spon Adr B (RDSB)	A	Dividend	J	T					
43. - Pimco Income Fund Instituional Fund (PMIX)	A	Dividend	J	T					
44. - Shopoff Commercial Growth & Income Fund	A	Distribution	K	T					
45.									
46.									
47.									

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 Lefkow, Joan H.	Date of Report 08/04/2020
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Lefkow, Joan H.

Date of Report

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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/ Joan H. Lefkow**

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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Washington, D.C. 20544