

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 05/07/2021
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	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
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. 1995	Self-directed retirement account at Miner, Barnhill & Galland, P.C. (reportable assets are listed in Part VII)
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.		
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. 2020	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 (cash)	A	Interest	K	T					
3. MONY Life Ins Policy #1 (whole)	A	Dividend	J	T					
4. MONY Life Ins Policy #2 (whole)	A	Dividend	K	T					
5. NWM Life Ins Policy #1 (whole)	C	Dividend	L	T					
6. NWM Life Ins Policy #2 (whole)	B	Dividend	K	T					
7. NWM Life Ins Policy #3 (whole)	A	Dividend	K	T					
8. Account #1 (H)									
9. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	K	T					
10. Invesco Endeavor Fd Cl Y (ATDYX)		None			Buy (add'l)	04/08/20	J		
11.					Sold (part)	07/06/20	J		
12.					Sold	07/24/20	J		
13. Invesco Van Kampen Comstock Fd Y (ACSDX)	C	Dividend	M	T	Sold (part)	01/10/20	J	A	
14.					Buy (add'l)	04/08/20	J		
15.					Buy (add'l)	07/28/20	M		
16.					Buy (add'l)	10/07/20	J		
17. DWS RREEF Glbl Infrastr Fd A (TOLLX)	A	Dividend	K	T	Buy (add'l)	07/28/20	J		

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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18. Federated Hermes Strategic Income Fd Cl R6 (STILX)	B	Dividend	M	T	Buy	07/28/20	M		
19.					Buy (add'l)	10/07/20	J		
20. Federated Hermes Kaufmann Lg Cap Fd Cl R6 (KLCSX)	D	Dividend	N	T	Buy	07/28/20	N		
21.					Sold (part)	10/05/20	J	A	
22. Federated Hermes Total Ret Bd Fd Cl R6 (FTRLX)	B	Dividend	M	T	Buy	07/28/20	M		
23.					Buy (add'l)	10/07/20	J		
24. Federated Intl Leaders Cl R6 (FGRSX)	A	Dividend	K	T	Sold (part)	07/06/20	J	A	
25.					Buy (add'l)	10/07/20	J		
26. Account #2 (H)									
27. Xanthus Fund, LLC		None	N	T	Buy	08/03/20	M		
28. Jackson National Life Perspective II S&P Aggressive Growth Portfolio		None	N	T	Buy	07/28/20	N		
29. Account #3 (H)									
30. American Funds, Capital World Growth & Income Fund Class A (CWGIX)	A	Dividend	J	T					
31. American Funds, Europacific Growth Fund Class A (AEPGX)	A	Dividend	J	T					
32. American Funds, The Growth Fund Of America Class A (AGTHX)	A	Dividend	J	T					
33. American Funds, The Income Fund Of America Class A (AMECX)	A	Dividend	J	T					
34. American Funds, Intermediate Bond Fund Of America Class A (AIBAX)	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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35. Account #4 (H)									
36. AF Trgt Date 2030 R6 (RFETX)	A	Dividend			Sold	07/08/20	O		
37. FID 500 Index (FXAIX)	B	Dividend			Sold	07/08/20	N		
38. FA Balanced Z (FZAAX)	B	Dividend			Sold	07/08/20	N		
39. Account #5 (H)									
40. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	M	T					
41. Amazon Com Inc (AMZN)	A	Dividend	K	T					
42. Apple Inc (AAPL)	A	Dividend	K	T					
43. Berkshire Hathaway (BRK.B)		None			Sold	09/17/20	L	E	
44. CVS Health Corp (CVS)	A	Dividend			Sold	09/17/20	J		
45. McDonalds Corp (MCD)	B	Dividend	K	T					
46. Federated Kaufmann Large Cap-A (KLCAX)	D	Dividend	N	T	Buy (add'l)	07/24/20	M		
47. Federated Fltg Rate Strat Inc A (FRSAX)	B	Dividend	L	T					
48. Federated Hermes Total Return Bond Fd Cl A (TLRAX)	A	Dividend	M	T	Buy	07/24/20	M		
49. Federated Intl Leaders Fd A (FGFAX)		None			Sold	03/11/20	K		
50. John Hancock Financial Ind Cl A (FIDAX)		None			Sold	03/11/20	J		
51. Voya Eq Tr Midcap Opptys Fd Cl A (NMCAX)	D	Dividend	K	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	
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	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. First Trust ETF NASDAQ Cybersecurity ETF (CIBR)	A	Dividend	K	T	Buy	03/11/20	K		
53. IShares Tr US Broker-Dealers & SE ETF (IAI)	A	Dividend	K	T	Buy	02/13/20	J		
54. Financial Select Sector SPDR (XLF)	A	Dividend	J	T	Buy	03/11/20	J		
55. ETF Managers TR Prime Cyber Security (HACK)	A	Dividend			Sold	02/13/20	K	A	
56. Vanguard Index FDS S&P 500 ETF (VOO)	A	Dividend	K	T					
57. FT Cybersecurity #11 (30307C431)		None			Redeemed	03/10/20	K	C	
58. FT Water Utility Infra Sel #51 (30309W757)	A	Dividend			Redeemed	09/10/20	K	D	
59. FT Banking Oppty #32 (30310H294)	A	Dividend			Redeemed	03/03/20	K		
60. FT Dow Target (30310M630)	A	Dividend			Redeemed	03/11/20	K		
61. Top Picks Ser 24 Jan 2019 Port (30310N572)	A	Dividend			Redeemed	02/26/20	L	D	
62. FT Global Dividend #58 (30310R110)	B	Dividend	K	T					
63. Top Picks Ser 26 Jul 2019 Port (30311C27B)	A	Dividend			Sold	03/11/20	K		
64. FT Cybersecurity #18 (30312A594)		None			Buy	02/13/20	K		
65.					Sold	03/11/20	K		
66. FT Water Utility Sel #56 (30312E679)	A	Dividend	K	T					
67. FT Water Utility Infra Sel #59 (30315G556)	A	Dividend	L	T	Buy	09/17/20	L		
68. Invesco QQQ Tr Ser 1 ETF (QQQ)		None			Buy	03/11/20	L		

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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	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	03/11/20	L		
70. Inv Divid Sustain 18-2 (46141B314)	A	Interest			Redeemed	05/08/20	K	A	
71. Inv Select 10 Indus 19-1 (46142X539)	A	Interest			Redeemed	03/10/20	L		
72. Inv Divid Sustain 19-1 (46143A35S)	A	Interest	K	T					
73. Inv Turnaround Strat 19-1 (46143C476)		None			Sold	03/11/20	K		
74. Inv Select 10 Indus 19-2 (46143E191)	A	Interest			Sold	05/08/20	K		
75. Jackson National Life Perspective II S&P Aggressive Growth Portfolio		None	P1	T					
76. Account #6 (H)									
77. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	J	T					
78. Invesco Endeavor Fd Cl Y (ATDYX)	B	Dividend	K	T	Buy (add'l)	04/08/20	J		
79.					Sold (part)	07/06/20	J		
80.					Sold (part)	10/07/20	J		
81. Invesco Van Kampen Comstock Fd Y (ACSDX)	B	Dividend	L	T	Buy (add'l)	04/08/20	J		
82. DWS RREEF Gbl Infrastr Fd A (TOLLX)	A	Dividend	J	T	Sold (part)	04/08/20	J	A	
83. Federated Intl Leaders Cl R6 (FGRSX)	A	Dividend	K	T	Sold (part)	04/08/20	J		
84. Account #7 (H)									
85. Adv Bank Dep Ally Bank (ABDXX) (cash)	A	Interest	K	T					

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(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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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86. Alps ETF Tr Alerian MLP SBI/CBI ETF (AMLP)	C	Dividend	K	T	Buy (add'l)	05/11/20	J		
87. Global X Cloud Computing ETF (CLOU)		None	K	T	Buy	07/08/20	K		
88. Invesco Powershs Nasdaq Internet Port ETF (PNQI)		None	K	T					
89. Invesco Powershs Golden Dragon China (PGJ)		None			Sold	02/28/20	K		
90. iShares Tr Select Divid (DVY)	B	Dividend	L	T	Buy (add'l)	05/11/20	J		
91. iShares Tr US Aer Def (ITA)	A	Dividend			Sold	03/20/20	K		
92. iShares Tr IBOXX Inv Cp ETF (LQD)	A	Dividend	K	T	Buy	04/21/20	K		
93. iShares Tr Mortg (REM)	B	Dividend	K	T	Buy (add'l)	07/08/20	J		
94. SPDR Gold Trust Gold Shs (GLD)		None	J	T	Buy	04/21/20	J		
95. SPDR Ser Trust S&P Transn (XTN)		None			Sold	03/20/20	K		
96. SPDR Ser Trust S&P Biotech Closed End SBI/CBI ETF (XBI)	A	Dividend	L	T	Buy (add'l)	05/11/20	J		
97.					Buy (add'l)	07/08/20	J		
98. Select Sect SPDR Tr SBI Healthcare (XLV)	A	Dividend	K	T	Buy (add'l)	05/11/20	J		
99. Select Sect SPDR Tr SBI Int-Finl (XLF)	A	Dividend	K	T					
100. Select Sect SPDR Tr Tech (XLK)	A	Dividend	L	T	Buy (add'l)	05/11/20	J		
101. Vaneck Vectors ETF Gold Miners (GDX)	A	Dividend	L	T					
102. Vaneck Vectors ETF Semiconductors (SMH)		None			Sold	03/20/20	K		

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103. Vanguard Intl Eq Indx Fd FTSE Emr Mkt (VWO)	A	Dividend	K	T					
104. Vanguard Index Fds Real Estate ETF (VNQ)	B	Dividend	K	T					
105. Account #8 (H)									
106. NM FDIC Insured Deposit Program (cash)	A	Dividend	J	T					
107. Thornburg Value Class A (TVAFX)	A	Dividend	L	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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cummings, Jeffrey I.

Date of Report

05/07/2021

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

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.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Cummings, Jeffrey I.

Date of Report

05/07/2021

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
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One Columbus Circle, N.E.
Washington, D.C. 20544