

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) Wood, Diane P.	2. Court or Organization U.S. Court of Appeals for the Seventh Circuit	3. Date of Report 05/12/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
7. Chambers or Office Address 2788F U.S. Courthouse 219 S. Dearborn St. Chicago, IL 60604-1805		
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. Senior Lecturer in Law	The University of Chicago Law School
2. Trust, Council, and Board	American Academy of Arts & Sciences
3. Council	American Law Institute
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.	

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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. 2020	University of Chicago (Teaching)	\$28,595.00
2. 2020	LEG, Inc. (West) (Book Royalties)	\$1,349.00
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	Northwestern University Feinberg School of Medicine - Professor of Neurology - salary
2. 2020	Self-employed Health Care Consultant - Expert Neurologist
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.	American Law Institute	January 16-18, 2020	Philadelphia, PA	Council Meeting	T, F, L
2.	University of California Berkeley Law School	January 29-30, 2020	Berkeley, CA	Conference	T, F, L
3.	Arizona State University	February 15-16, 2020	Scottsdale, AZ	Dinner - Justice O'Connor	T, F, L
4.	Salzburg Global Seminar	February 21-22, 2020	Washington, DC	Talk to Cutler Fellows	T, F, L
5.	American Law Institute	February 27-28, 2020	Malibu, CA	Conference	T, F, L

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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.

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. TIAA Traditional Fund (Note 1)		None	O	T					
2. CREF Stock R3 Traditional Mutual Fund (Note 1)		None	P1	T					
3. BMO Harris Bank - Cash Account	D	Interest	O	T					
4. Chase Bank - Cash Account	B	Interest	N	T					
5. Ameriprise 403(b) (H) (Note 1)									
6. -RiverSource Flexible Annuity		None	L	T					
7. Ameriprise Brokerage Acct. (H)									
8. -Dreyfus	A	Dividend	K	T					
9. -Columbia Disc. Core Cl. Mutual Fund	A	Dividend	K	T					
10. -Columbia Select Int'l Equity	A	Dividend	K	T					
11. -Columbia High Yield Bond	A	Dividend	L	T					
12. Baird Insured Deposit	A	Interest	L	T					
13. BMY (Bristol-Myers Squibb) Common Stock	A	Dividend	K	T					
14. Fastenal	D	Dividend	N	T					
15. Fidelity Rollover IRA #1 (H) (Note 1)									
16. -FDRXX		None	L	T					
17. -CLSPX		None	N	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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18. -FAST		None	L	T					
19. -FDVLX		None	N	T					
20. -GE		None	K	T					
21. -TFFYX		None	M	T					
22. Fidelity SEP IRA (H) (Note 1)									
23. -FDRXX		None	J	T					
24. -FLPSX		None	M	T					
25. Fidelity Northwestern (H) (Note 1)									
26. -JDVWX		None	M	T					
27. -MVCKX		None	N	T					
28. -VPMAX		None	N	T					
29. Northwestern Mem 401(k) (H) (Note 1)									
30. -FGCKX		None	L	T					
31. -Vanguard Target		None	K	T					
32. -BPLIX		None	K	T					
33. Northwestern 457(b) (H) (Note 1)									
34. -VTTVX		None	L	T					

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35. -VTXVX		None	N	T					
36. Fidelity Puritan Fund	D	Dividend	M	T					
37. General Electric Common Stock	A	Dividend	K	T					
38. Walmart de Mexico	A	Dividend	K	T					
39. Wells Fargo (H)									
40. -WMFAX (Municipal Bond-A)	A	Dividend	J	T					
41. -SADAX (Ultra Short Term Income-A)	D	Dividend	N	T					
42. -NWMXX (Municipal Money Market)	A	Dividend	M	T					
43. Zimmer Biomet Holdings	A	Dividend	J	T					
44. JPMorgan Managed Brokerage	E	Interest	O	T					
45. Vanguard Inst. Index (Note 1)		None	J	T					
46. E*Trade Cash (Y)									
47. Kraft Heinz (X)	A	Dividend	L	T	Buy	11/01/20	L		Self-cash
48. Fidelity Rollover IRA #2 (X) (managed) (Note 1)		None	P1	T	Buy	03/01/20	P1		Self-cash

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

Notes:

1. All holdings with a "Note 1" designation are ordinary mutual funds or annuities for which neither I nor my spouse has any say in the investment mix, and are not income-producing. The value of accumulations increases or decreases depending on the market and premiums paid.

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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/ **Diane P. Wood**

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