

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) Cox, Susan E.	2. Court or Organization US District Court	3. Date of Report 07/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge - Full time	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 219 South Dearborn Ave. Room 1334 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.		
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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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. 1/20-12/20	Servier Pharmaceuticals LLC - Salary & Bonus
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.		
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) 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. First National Bank of LaGrange Accounts	A	Interest	K	T					
2. Wells Fargo Bank Account	A	Interest	J	T					
3. US Employees Credit Union Account	A	Interest	J	T					
4. Baxter Int'l Common Stock	C	Dividend	M	T					
5. Takeda Pharmaceutical Common Stock	C	Dividend	M	T					
6. Edward Lifesciences Common		None	L	T					
7. Farm - Wilson County, KS (1/12th Interest)	A	Rent	K	W					
8. TAKEDA SAVINGS & RETIRE PLAN (H)									
9. - Takeda Pharmaceutical Common Stock	B	Dividend			Merged (with line 151)	10/08/20	K		
10. - FIAM Target Date 2030 Fund	D	Int./Div.			Sold	10/01/20	P1	G	
11. TAKEDA ESPP STOCK PLAN (H)									
12. - Takeda Pharmaceutical Common Stock	A	Dividend	K	T					
13. SERVIER PHARMACEUTICALS 401K PLAN (H)									
14. - Vanguard Target Rmt 2030 Fund	B	Int./Div.	M	T	Buy (add'l)	12/31/20	K		
15. BROKERAGE ACCOUNT #1 (H)									
16. - Alibaba Group		None	K	T					
17. - Amazon.com		None	K	T	Sold (part)	09/09/20	K	E	

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. - Apple Inc	A	Dividend	J	T	Sold (part)	09/09/20	K	D	
19. - Baidu Inc		None	K	T					
20. - Berkshire Hathaway Inc Cl B		None	K	T					
21. - Enterprise Products LP	A	Dividend			Sold	04/01/20	J	A	
22. - Fidelity Blue Chip Value	A	Dividend	J	T					
23. - Fidelity Cash Reserves Fund	A	Interest	J	T					
24. - Fidelity Convertible Securities	A	Int./Div.	J	T					
25. - Fidelity Short Term Bond Fund	A	Interest	J	T					
26. - Fidelity Advisor Convertible Bond Fund	D	Interest	L	T	Buy	09/09/20	L		
27. - Fidelity Advisor Total Bond Fund	B	Interest	L	T	Buy	09/09/20	L		
28. - Fidelity High Income Bond Fund	A	Interest	K	T	Buy	09/09/20	K		
29. - Fidelity Investment Grade Bond Fund	A	Interest	J	T	Buy	09/09/20	J		
30. - Fidelity Total Bond Fund	A	Interest	J	T	Buy	09/09/20	J		
31. - Invesco QQQ ETF	A	Dividend			Sold	09/09/20	L	E	
32. - Las Vegas Sands Corp	A	Dividend			Sold	09/09/20	J	A	
33. - Matthews Asia Dividend	A	Dividend	J	T					
34. - Market Vectors Gaming ETF	A	Dividend			Sold	09/09/20	J	A	

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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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35. - Robotics & Automation ETF	A	Dividend	J	T					
36. - S&P 500 ETF	A	Dividend	L	T	Sold (part)	09/09/20	K	B	
37. - Starbucks	A	Dividend	J	T					
38. - SPDR Gold Trust		None	J	T	Buy	09/09/20	J		
39. BROKERAGE ACCOUNT #2 (H)									
40. - Alphabet		None	K	T					
41. - Amazon.com		None	K	T					
42. - Apple Inc	A	Dividend	K	T					
43. - Berkshire Hathaway Inc Cl B		None	K	T					
44. - Boeing Bond 8.75% 8-15-21	A	Interest	J	T					
45. - Caterpillar Inc	A	Dividend	K	T					
46. - Cummins Inc	A	Dividend			Sold	06/15/20	J	A	
47. - CVS Caremark	A	Dividend			Sold	08/12/20	J	A	
48. - Disney Walt Co	A	Dividend	K	T					
49. - Fidelity Blue Chip Value	A	Dividend			Sold	10/28/20	K	A	
50. - Fidelity Convertible Securities	B	Int./Div.	K	T					
51. - Fidelity Emerging Markets	A	Dividend	K	T					

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52. - Fidelity International Growth	A	Dividend	K	T	Sold (part)	10/28/20	K	C	
53. - Fidelity Muni Money Market Fund	A	Interest	J	T					
54. - Fidelity Select Healthcare	B	Dividend	J	T	Sold (part)	01/06/20	J	B	
55. - Fidelity Short Term Bond Fund	A	Interest	J	T	Buy	09/09/20	J		
56. - Fidelity Total Bond Fund	A	Interest	K	T					
57. - Fidelity Utilities	A	Dividend	K	T					
58. - Invesco QQQ Trust	B	Dividend	L	T	Sold (part)	10/28/20	L	E	
59. - Keycorp Note 2.9% 9-15-20	A	Interest			Matured	09/15/20	J	A	
60. - Las Vegas Sands	A	Dividend			Sold	06/15/20	J	A	
61. - Mainstay High Yield Muni	A	Interest	J	T	Sold (part)	01/06/20	J	A	
62. - Mastercard	A	Dividend	K	T					
63. - Matthews Asia Dividend	A	Dividend	K	T					
64. - Matthews Asia Growth Investor	A	Dividend	K	T					
65. - Microsoft	A	Dividend	K	T					
66. - Oakmark International Fund	A	Dividend			Sold	04/06/20	K	A	
67. - S&P 500 ETF	C	Dividend	L	T	Sold (part)	10/28/20	M	E	
68. - SPDR S&P Homebuilders ETF	A	Dividend	K	T	Buy	09/09/20	K		

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69. - SPDR Gold Trust		None	K	T					
70. - Target Corp	A	Dividend	J	T					
71. - United Parcel Service	A	Dividend	K	T					
72. - Vanguard Dividend Growth	A	Dividend	K	T					
73. - Vanguard Wellesley Income	B	Int./Div.	K	T					
74. - Visa Inc	A	Dividend	K	T					
75. - Waste Management Inc	A	Dividend	J	T					
76. - Wells Fargo Bond 2.55% 12-7-20	A	Interest			Matured	12/07/20	J	A	
77. - Wells Fargo Bond 3% 1-22-21	A	Interest	J	T					
78. - Yum Brands Inc	A	Dividend	J	T					
79. BROKERAGE ACCOUNT #3 (H)									
80. - Apple Inc.		None			Closed	01/01/20	J	A	
81. - Fidelity Blue Chip Growth		None			Closed	01/01/20	J	A	
82. - Fidelity Blue Chip Value		None			Closed	01/01/20	J	A	
83. - Fidelity Capital & Income		None			Closed	01/01/20	J	A	
84. - Fidelity Cash Fund		None			Closed	01/01/20	J	A	
85. - Fidelity Conservative Income		None			Closed	01/01/20	J	A	

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86. - Fidelity High Income		None			Closed	01/01/20	J	A	
87. - Fidelity Select Consumer Discr.		None			Closed	01/01/20	J	A	
88. - Fidelity Select Healthcare		None			Closed	01/01/20	J	A	
89. - Fidelity Short Term Bond		None			Closed	01/01/20	J	A	
90. - Fidelity Utilities ETF		None			Closed	01/01/20	J	A	
91. - S&P Midcap 400		None			Closed	01/01/20	J	A	
92. - Vanguard Wellesley Income		None			Closed	01/01/20	J	A	
93. BROKERAGE ACCOUNT #4 (H)									
94. - Apple Inc.	A	Dividend	K	T					
95. - Fidelity Blue Chip Growth	A	Dividend	J	T					
96. - Fidelity Blue Chip Value	A	Dividend	J	T					
97. - Fidelity Capital & Income	A	Int./Div.	J	T					
98. - Fidelity Cash Fund	A	Interest	J	T					
99. - Fidelity Conservative Income	A	Int./Div.	J	T					
100. - Fidelity High Income Fund	A	Int./Div.	J	T					
101. - Fidelity Investment Grade Bond Fund	A	Interest	J	T	Buy	10/09/20	J		
102. - Fidelity Select Consumer Discr.	A	Dividend			Sold	06/15/20	J	A	

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103. - Fidelity Short Term Bond	A	Interest	J	T					
104. - Fidelity Utilities ETF	A	Dividend	J	T					
105. - Paychex Inc.	A	Dividend			Sold	02/28/20	J	A	
106. - S&P Midcap 400	A	Dividend	J	T					
107. BROKERAGE ACCOUNT #5 (H)									
108. - Alphabet		None	J	T	Sold (part)	09/09/20	K	D	
109. - Amazon.com		None	K	T					
110. - AT&T	A	Dividend	J	T	Buy	06/15/20	J		
111. - Caterpillar Inc	A	Dividend	J	T					
112. - Enterprise Products LP	A	Dividend			Sold	04/01/20	J	A	
113. - Facebook		None	K	T					
114. - Fidelity Blue Chip Value	A	Dividend	J	T					
115. - Fidelity Cash Reserves	A	Interest	J	T					
116. - Fidelity High Income Bond Fund	A	Interest	K	T	Buy	09/09/20	K		
117. - Fidelity Select Healthcare	A	Dividend	J	T					
118. - Fidelity Total Bond	B	Interest	K	T					
119. - Invesco QQQ Trust	A	Dividend	J	T					

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(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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☐

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)
120. - Lockheed Martin Corp	A	Dividend	K	T					
121. - Magellan Midstream Partners	A	Dividend			Sold	04/01/20	J	A	
122. - Matthews Asia Growth Investor	A	Dividend	J	T					
123. - Purefunds Cyber Security ETF	A	Dividend	K	T					
124. - Vanguard Dividend Growth	A	Dividend	K	T					
125. - Ventas Inc.	A	Dividend	J	T					
126. - Winnebago Industries	A	Dividend	K	T					
127. BROKERAGE ACCOUNT #6 (H)									
128. - Alibaba		None	K	T	Buy	11/17/20	K		
129. - Caterpillar	A	Dividend	K	T	Buy	11/17/20	K		
130. - Disney Walt Co.	A	Dividend	K	T	Buy	11/17/20	K		
131. - Fidelity Advisor Convertible Bond Fund	D	Int./Div.	L	T	Buy	11/17/20	L		
132. - Fidelity Advisor Growth Opportunities	C	Dividend	L	T	Buy	11/17/20	L		
133. - Fidelity Advisor Total Bond Fund	A	Interest	M	T	Buy	11/17/20	M		
134. - Fidelity Cash Reserves	A	Interest	J	T	Buy	11/17/20	J		
135. - Fidelity Capital & Income	A	Int./Div.	L	T	Buy	11/17/20	L		
136. - Fidelity Emerging Markets	A	Dividend	K	T	Buy	11/17/20	K		

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	
	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	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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Name of Person Reporting

Cox, Susan E.

Date of Report

07/09/2021

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)
137. - Fidelity High Income Bond Fund	A	Interest	L	T	Buy	11/17/20	L		
138. - Fidelity Investment Grade Bond Fund	A	Interest	L	T	Buy	11/17/20	L		
139. - Fidelity Select Healthcare	D	Dividend	M	T	Buy	11/17/20	M		
140. - Fidelity Short Term Bond Fund	A	Interest	K	T	Buy	11/17/20	K		
141. - Fidelity Utilities ETF	A	Dividend	K	T	Buy	11/17/20	K		
142. - Lockheed Martin Corp.	A	Dividend	K	T	Buy	11/17/20	K		
143. - Market Vectors Gaming ETF	A	Dividend	K	T	Buy	11/17/20	K		
144. - Matthews Asia Growth Investor	A	Dividend	K	T	Buy	11/17/20	K		
145. - Oakmark International Fund	A	Dividend	K	T	Buy	11/17/20	K		
146. - S&P Mid Cap 400 ETF	A	Dividend	L	T	Buy	11/17/20	L		
147. - SPDR Financial Sector ETF	A	Dividend	L	T	Buy	11/17/20	K		
148. - SPDR Industrial ETF	A	Dividend	K	T	Buy	11/17/20	K		
149. - SPDR S&P Homebuilders ETF	A	Dividend	K	T	Buy	11/17/20	K		
150. - SPDR Gold Trust		None	J	T	Buy	11/17/20	J		
151. - Takeda Pharmaceutical Common Stock	A	Dividend	K	T	Open	10/08/20	K		
152. - Vanguard Dividend Growth Fund	A	Dividend	K	T	Buy	11/17/20	K		
153. - Waste Management Inc.	A	Dividend	K	T	Buy	11/17/20	K		

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	
	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	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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)
154. CUSTODIAL ACCOUNT #1 (H)									
155. - First National Bank of LaGrange Account	A	Interest	J	T					
156. IL Bright Directions 529 Plan #2 - Fund 60A	A	Int./Div.			Closed	12/31/20	J	A	

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	
	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	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

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

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Name of Person Reporting

Cox, Susan E.

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07/09/2021

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/ **Susan E. Cox**

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