

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) Bauer, William J.	2. Court or Organization United States Court of Appeals for the Seventh Circuit	3. Date of Report 08/06/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge - Senior Status	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 219 South Dearborn Street Room 2754 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. Trustee	Elmhurst College, Elmhurst, Illinois
2. Trustee	DePaul University, Chicago, Illinois
3. Board of Governors	Illinois St. Andrew's Society, North Riverside, Illinois
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 7

Name of Person Reporting

Bauer, William J.

Date of Report

08/06/2021

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	Circuit Court of Cook County, Illinois (salary from 01/01/2020 through 12/31/2020)
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.				

Name of Person Reporting	Date of Report
Bauer, William J.	08/06/2021

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Bauer, William J.

Date of Report

08/06/2021

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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.	2 Checking Accounts Fifth Third Bank	A	Interest	L	T					
2.	Western & Southern Life Assurance Fund and Fixed Annuity	A	Interest	M	T					
3.	2 Checking Accounts Citibank N.A.	A	Interest	L	T					
4.	Fifth Third Private Bank Investment Account:									
5.	Fifth Third Banksafe Trust	A	Interest	J	T					
6.	Fifth Third Banksafe Trust	A	Interest	K	T					
7.	Municipal Interest Securities:									
8.	American Cent Intermtm TX-FR BD -- TWTIX	A	Int./Div.	K	T					
9.	Goldman Sachs SHT Duration CL 1 -- GSDUX	A	Int./Div.	K	T					
10.	Nuveen Short Duration HIYLD Muni -- NVHIX	A	Int./Div.	K	T					
11.	Mainstay MacKay High Yield Municipal Bond Fund - MMHIX	A	Int./Div.	L	T	Buy	04/22/20	L		
12.	US Government Interest Treasury Notes:									
13.	US Treasury Note	A	Interest			Matured	01/31/20	K		
14.	Fannie Mae	A	Interest	L	T	Buy	7/20/20	L		
15.	US Treasury Note	A	Interest	K	T	Buy	12/31/20	K		
16.	Corporate Interest Securities:									
17.	Chevron Corp	A	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

Bauer, William J.

Date of Report

08/06/2021

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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. Cisco Sys Inc SR NT	A	Interest	K	T					
19. Walt Disney Company	A	Interest	K	T					
20. General Dynamics Corp	A	Interest	K	T					
21. Oracle Corp NT	A	Interest			Matured	07/15/20	K		
22. Pfizer Inc.	A	Interest	K	T					
23. Simon PPTY Grup L P GLBL NT	A	Interest			Matured	07/22/20	K		
24. 3M Co. FR	A	Interest	K	T					
25. Toyota Mtr CR Corp	A	Interest	J	T					
26. United Parcel SVC Inc.	A	Interest	K	T					
27. Walmart Inc	A	Interest	K	T					
28. U.S. Bankcorp Mtn.	A	Interest	K	T	Buy	02/06/20	K		
29. Costco Wholesale Corp.New	A	Interest	K	T	Buy	08/18/20	K		
30. Schwab Charles Corp. SR NT	A	Interest	K	T	Buy	08/18/20	K		
31. Federal Home Loan Bank	A	Interest	K	T	Buy	08/18/20	K		
32. Apple Inc.	A	Interest	K	T	Buy	11/20/20	K		
33. Bank New York Mellon Corp.	A	Interest	K	T	Buy	11/20/20	K		

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 7

Name of Person Reporting

Bauer, William J.

Date of Report

08/06/2021

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

I received, through the estate [REDACTED], 65 shares of ICH Corporation, for which I can find no market value. Nevertheless, the stock is listed in my name.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Bauer, William J.

Date of Report

08/06/2021

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/ **William J. Bauer**

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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