

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 5/8/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 1/1/2017 to 12/31/2017
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. Board	Constitutional Rights Foundation Chicago
4. Council and Executive Committee	American Law Institute
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. 2017	University of Chicago (Teaching)	\$27,765.00
2. 2017	LEG, Inc. dba West Academic (book royalties)	\$1,327.00
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. 2017	Northwestern Feinberg School of Medicine - Professor of Neurology - salary
2. 2017	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 18-20, 2017	Philadelphia, PA	Council Meeting	T, F, L
2. Arizona State University	January 27-28, 2017	Phoenix, AZ	O'Connor Justice Prize Dinner	T, F, L
3. American Law Institute	February 8-9, 2017	Philadelphia, PA	Project	T, F, L
4. American Academy of Arts and Sciences	April 5-7, 2017	Cambridge, MA	Governance Meeting	T, F, L
5. Yale University	April 18-19, 2017	New Haven, CT	Moot Court	T, F, L
6. Wabash College	April 24, 2017	Crawfordsville, IN	Peck Senior Medal, recipient	T, F

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7.	DuPage County Bar Association	May 4, 2017	Wheaton, IL	Speaker, Law Day	F
8.	University of Chicago Law School	May 21-24, 2017	Washington, DC	American Law Institute Annual Meeting	T, F, L
9.	American Bar Association	May 31-June 2, 2017	Mexico City, MX	Antitrust Conference	T, F, L
10.	American Bar Foundation	July 21-23, 2017	Evanston, IL	Aspen Institute, conference speaker	F, L
11.	Texas Supreme Court Historical Society	September 8-10, 2017	Austin, TX	Speaker, Hemphill Dinner	T, F, L
12.	American Academy of Arts and Sciences	October 5-8, 2017	Cambridge, MA	Induction Weekend	T, F, L
13.	American Law Institute	October 17-19, 2017	New York, NY	100th Anniversary & Council Meetings	T, F, L
14.	Appellate Judges Education Institute Summit	November 3-5, 2017	Long Beach, CA	Conference	T, L
15.	American Law Institute	November 29-30, 2017	New York, NY	Project	T, F, L
16.					
17.					
18.					

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. TIAA Traditional Fund (note 1, Part VIII)		None	N	T					
2. CREF Stock R3 Traditional mutual fund (note 1)		None	O	T					
3. BMO Harris Bank - cash account	A	Interest	N	T					
4. Chase Bank - cash account	A	Interest	O	T					
5. Ameriprise 403(b) (H)									
6. - Ameriprise Financial Inc. Fund (note 1)		None	M	T					
7. Baird Insured Deposit - cash account	A	Interest	L	T					
8. BMY (Bristol-Myers Squibb) - common stock	A	Dividend	K	T					
9. Fastenal Co. (FAST) - common stock (note 2)	D	Dividend	N	T					
10. Fidelity Rollover IRA (H)									
11. - FDRXX (note 1)		None	P1	T					
12. - CLSPX (note 1)		None	M	T					
13. - FAST (note 1, 2)		None	K	T					
14. - FDVLX (note 1)		None	N	T					
15. - GE (note 1)		None	K	T					
16. - TFFYX (note 1)		None	M	T					
17. Sep IRA (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	

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18. - FDRXX (note 1)		None	J	T					
19. - FLPSX (note 1)		None	M	T					
20. Fidelity Northwestern (H)									
21. - JDVWX (note 1)		None	M	T					
22. - MVCKX (note 1)		None	N	T					
23. - VPMAX (note 1)		None	N	T					
24. Northwestern Mem. 401K (H)									
25. - Vanguard Target Fund (note 1)		None	J	T					
26. - FGCKX (note 1)		None	K	T					
27. - JDVWX (note 1)		None	K	T					
28. Northwestern 457(b) (H)									
29. - VTTVX (note 1)		None	J	T					
30. - VTXVX (note 1)		None	M	T	Buy	06/30/17	M		Nwestern internal transfer
31. Fidelity NMFF 457(b) (H)									
32. - ARBSX					Sold	06/30/17	M	D	Nwestern internal transfer
33. - ATTIX					Sold	06/30/17	J	A	Nwestern internal transfer
34. - BHYIX					Sold	06/30/17	M	A	Nwestern internal transfer

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35. Fidelity Northwestern Medical (H)									
36. - FGCKX					Sold	10/04/17	P1	G	Nwestern internal transfer
37. - HAOYX					Sold	10/04/17	M	D	Nwestern internal transfer
38. - ODVYX					Sold	10/04/17	M	E	Nwestern internal transfer
39. Fidelity Puritan Fund	D	Dividend	M	T					
40. General Electric - common stock	A	Dividend	J	T					
41. Walmart de Mexico - stock	A	Dividend	K	T					
42. Wells Fargo Acct (H)									
43. - WMFAX (municipal bond - A)	A	Dividend	J	T					
44. - SADAX (ultra-short-term income - A)	C	Dividend	N	T					
45. - WMUXX (municipal mny-mkt - A)	A	Dividend	L	T					
46. Whole Foods - common stock					Sold	08/31/17	N	G	Amazon takeover
47. Zimmer Biomet Holdings	A	Dividend	J	T					
48.									

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

Part VII. Investments and Trusts

Notes:

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

Note 2. (For lines 9 and 13) In previous years, I have used the aggregate value of the Fastenal positions that are independently held and part of the rollover IRA. This year I have segregated those two amounts in lines 9 and 13.

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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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