

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Lee, John Z.	2. Court or Organization U.S. District Court, N.D.Ill.	3. Date of Report 05/07/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 219 South Dearborn Street Room 1262 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.)

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2018

Self-employed physician

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

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.)*

	<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.	Capital One	Mortgage on Rental Property #1, Barrington, IL	O
2.	Ditech Mortgage Corp.	Mortgage on Rental Property #1, Barrington, IL	M
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. Rental Property #1, Barrington, IL (2007 \$745,000)		None			Sold	05/07/18	O	A	M. Zeiss
2. LPL Financial IRA #1 (H)									
3. - Am. Beacon Bridgeway Large Cap Fund	D	Dividend	M	T					
4. - Am. Beacon High Yield Fund	C	Dividend	L	T					
5. - Am. Beacon Sm Cap Value Fund	C	Dividend	K	T					
6. - Am. Century Mid Cap Value Fund	C	Dividend	K	T					
7. - Am. Century Real Estate Fund					Sold	01/24/18	K	B	
8. - Artisan Mid Cap Fund	D	Dividend	K	T					
9. - Calamos Mkt Neutraal Income Fund	C	Dividend	L	T	Buy	08/31/18	L		
10. - Clearbridge Aggressive Growth Fund					Sold	08/31/18	L	A	
11. - Clearbridge Large Cap Growth Fund	B	Dividend	K	T	Buy	08/31/18	L		
12. - Entrust Permal Mut. Fund					Sold	08/31/18	L	A	
13. - JP Morgan Prime Money Mkt Acct	A	Interest	J	T					
14. - Janus Venture Fund	C	Dividend	K	T					
15. - Oakmark Mutual Fund	D	Dividend	L	T	Buy	08/31/18	M		
16. - Oakmark International Fund	D	Dividend	L	T					
17. - Oakmark Select Fund					Sold	08/31/18	M	E	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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18. - Oppenheimer Dev. Mkts Fund	A	Dividend	K	T					
19. - Prudential Total Return Bond Fund	B	Dividend	L	T					
20. - Vanguard Growth ETF	B	Dividend	L	T	Buy	01/24/18	L		
21. LPL Financial IRA #2 (H)									
22. - Vanguard Intermed. Term Invest. Grade Bond Fund	A	Dividend	J	T	Sold (part)	09/05/18	J	A	
23.					Sold (part)	11/06/18	J	A	
24. - Vanguard International Value Mut. Fund	A	Dividend	J	T					
25. - Vanguard Total Stock Market Mut. Fund	A	Dividend	J	T					
26. - Goldman Sachs Bank USA Cash Acct	A	Dividend	J	T					
27. Trust # 1 (H)									
28. - Am. Beacon Sm Cap Value Fund	A	Dividend			Sold	02/02/18	J	A	
29. - Am. Beacon Birdgeyway Lg Cap Fund	A	Dividend			Sold	02/02/18	L	D	
30. - Am Century Mid Cap Value Fund	A	Dividend			Sold	02/02/18	K	B	
31. - Clearbridge Aggressive Growth Fund	A	Dividend			Sold	02/02/18	K	D	
32. - Clearbridge Small Cap Mut Fund	A	Dividend			Sold	02/02/18	K	B	
33. - Entrust Permal Mut Fund	A	Dividend			Sold	02/02/18	K	A	
34. - Henderson Inter'l Opportunities Fund	A	Dividend			Sold	02/02/18	K	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	
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. - iShares Core S&P 500 ETF Fund	A	Dividend			Sold	02/02/18	L	E	
36. - Janus Enterprise Mut Fund	A	Dividend			Sold	02/02/18	K	D	
37. - Oppenheimer Developing Mkt Fund	A	Dividend			Sold	02/02/18	K	D	
38. - Prudential Total Return Bond Fund	A	Dividend			Sold (part)	02/02/18	K	A	
39.					Sold	04/23/18	J	A	
40. - Ridgworth Float. Rate High Inc Fund	A	Dividend			Sold (part)	02/02/18	K	A	
41.					Sold	04/23/18	J	A	
42. - Vanguard Growth ETF Fund	A	Dividend			Sold	02/02/18	K	D	
43. - Goldman Sachs Bank USA Cash Acct	A	Dividend			Sold	02/02/18	J	A	
44. - T. Rowe Price Ret. 2035 Mut. Fund	E	Dividend	N	T	Buy	01/29/18	K		
45.					Buy (add'l)	06/20/18	K		
46.					Buy (add'l)	10/05/18	J		
47.					Buy (add'l)	10/17/18	J		
48.					Buy (add'l)	10/31/18	J		
49.					Buy (add'l)	11/15/18	J		
50. LPL Financial IRA #3 (H)									
51. - Am. Beacon Bridgeway Large Cap Fund	D	Dividend	L	T	Buy	02/02/18	L		

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52. - Am. Beacon Sm Cap Value Fund	B	Dividend	J	T	Buy	02/02/18	K		
53. - Am. Century Mid Cap Value Fund	B	Dividend	K	T	Buy	02/02/18	K		
54. - Calamos Mkt Neutal Income Fund	B	Dividend	K	T	Buy	08/31/18	K		
55. - Clearbridge Aggressive Growth Fund	A	Dividend			Buy	02/02/18	K		
56.					Sold	08/31/18	K	A	
57. - Clearbridge International Growth Fund	A	Dividend	K	T	Buy	07/20/18	L		
58. - Clearbridge Large Cap Growth	B	Dividend	K	T	Buy	08/31/18	K		
59. - Clearbridge Small Cap Fund	B	Dividend	K	T	Buy	02/02/18	K		
60. - Entrust Permal Mut. Fund	A	Dividend			Buy	02/02/18	K		
61.					Sold	08/31/18	K	A	
62. - Henderson International Opp. Fund	A	Dividend			Buy	02/02/18	L		
63.					Sold	07/20/18	L	A	
64. - iShares Core S&P 500 ETF	B	Dividend	L	T	Buy	02/02/18	K		
65. - Janus Enterprise Fund	B	Dividend	K	T	Buy	02/02/18	K		
66. - Oppenheimer Developing Mkt Fund	A	Dividend	K	T	Buy	02/02/18	K		
67. - PGIM Total Return Bond Fund	B	Dividend	K	T	Buy	02/02/18	K		
68. - PGIM Short Duration High Yield Fund	A	Dividend	K	T	Buy	12/14/18	K		

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69. - Virtus SEIX Floating Rate High Inc Fund	A	Dividend			Buy	02/02/18	K		
70.					Sold	12/14/18	K	A	
71. - Vanguard Growth Fund	A	Dividend	K	T	Buy	02/02/18	K		
72. - Money Market Fund	A	Dividend	J	T	Buy	02/02/18	K		
73. Am. Century Equity Income Mut. Fund	A	Dividend	J	T	Buy	12/31/18	J		
74. Am. Century Mid Cap Value Fund	A	Dividend			Sold	10/30/18	J	A	
75. Am. Century Value Investor Mut. Fund	B	Dividend			Sold	12/31/18	J	A	
76. Deutsche Managed Muni. Bond Mut. Fund	A	Dividend			Sold	10/30/18	K	A	
77. DWS Intermediate Tax-Free Mut. Fund	A	Dividend	K	T	Buy	10/30/18	K		
78. Janus Enterprise Mut. Fund	A	Dividend	J	T					
79. Janus Venture Mut. Fund	A	Dividend	J	T					
80. Oakmark Fund Mutual Fund	A	Dividend	K	T					
81. Oakmark International Mut. Fund	A	Dividend			Sold	12/11/18	J	A	
82. Goldman Sachs Bank USA Cash Acct	A	Interest	J	T					
83. Loomis Sayles Growth Mut. Fund	A	Dividend	K	T					
84. Oppenheimer Dev. Markets Mut. Fund	A	Dividend	J	T					
85. Vanguard FTSE Dev. Mkts Fund	A	Dividend	J	T	Buy	12/11/18	J		

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86. WisdomTree US Mid Cap Dividend Fund	A	Dividend	J	T	Buy	10/30/18	J		
87. Bright Directions College Savings 15-16 Portfolio		None	M	T	Buy (add'l)	01/22/18	J		
88.					Buy (add'l)	02/20/18	J		
89.					Buy (add'l)	03/20/18	J		
90.					Buy (add'l)	04/20/18	J		
91.					Buy (add'l)	05/21/18	J		
92.					Buy (add'l)	06/20/18	J		
93.					Buy (add'l)	07/20/18	J		
94.					Buy (add'l)	08/20/18	J		
95.					Buy (add'l)	09/20/18	J		
96.					Buy (add'l)	10/22/18	J		
97.					Buy (add'l)	11/20/18	J		
98.					Buy (add'l)	12/20/18	J		
99. Bright Directions College Savings Baird Short-Term Bond Fund		None	K	T					
100. Bright Directions 529 College Savings MFS Value Fund		None	K	T	Buy (add'l)	01/17/18	J		
101.					Buy (add'l)	02/20/18	J		
102.					Buy (add'l)	03/19/18	J		

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103.					Buy (add'l)	04/17/18	J		
104.					Buy (add'l)	05/17/18	J		
105.					Buy (add'l)	06/18/18	J		
106.					Buy (add'l)	07/17/18	J		
107.					Buy (add'l)	08/17/18	J		
108.					Buy (add'l)	09/17/18	J		
109.					Buy (add'l)	10/17/18	J		
110.					Buy (add'l)	11/19/18	J		
111.					Buy (add'l)	12/17/18	J		
112. Bright Directions College Savings Northern Bond Fund		None	J	T					
113. Bright Directions College Savings Oppenheimer Int'l Growth Fund		None	J	T					
114. Bright Directions College Savings T Rowe Price Large Cap Growth Fund		None	J	T					
115. Bright Directions College Savings T Rowe Price Real Estate Fund		None	J	T					
116. Bright Directions College Savings T Rowe Price Balanced Portfolio		None	K	T	Buy	01/01/18	J		
117.					Buy (add'l)	02/20/18	J		
118.					Buy (add'l)	03/19/18	J		
119.					Buy (add'l)	04/17/18	J		

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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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)
120.					Buy (add'l)	05/17/18	J		
121.					Buy (add'l)	06/18/18	J		
122.					Buy (add'l)	07/17/18	J		
123.					Buy (add'l)	08/17/18	J		
124.					Buy (add'l)	09/17/18	J		
125.					Buy (add'l)	10/17/18	J		
126.					Buy (add'l)	11/19/18	J		
127.					Buy (add'l)	12/17/18	J		
128. Apple (AAPL)	A	Dividend	L	T					
129. Revolution Lighting (RVLTT)		None	J	T					
130. Johnson & Johnson (JNJ)	A	Dividend	J	T	Buy	05/16/18	J		
131.					Buy (add'l)	08/23/18	J		
132. Schwab One Interest Account	A	Interest	J	T					
133. JP Morgan Chase Bank Accounts	A	Interest	M	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

In Part VII, line 75, my 2016 report listed "Bright Directions College Savings BlackRock Cash Fund" as being sold in part on 07/28/16. This entry should have listed "Bright Directions College Savings BlackRock Cash Fund" as being sold in its entirety on 07/28/16, with a Value Code of "M" and a Gain Code of "A."

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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/ **John Z. Lee**

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
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