

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 05/13/2016
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 01/01/2015 to 12/31/2015
7. Chambers or Office Address 219 South Dearborn Street Room 122 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. 2012	Freeborn & Peters LLP -- Compensation for legal services rendered before becoming a judge.
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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. 2015	Physician Anesthesia Associates
2. 2015	Illinois Board of Health
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. Federal Judicial Center	05/04/15-05/05/15	Milwaukee, WI	Judicial conference	Transportation, meals, and lodging
2. Federal Judicial Center	05/19/15-05/22/15	Berkeley, CA	Judicial training	Transportation, meals, and lodging
3. Department of Justice	10/24/15-10/30/15	Denpasar, Indonesia	Judicial training	Transportation, meals, and lodging
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)	E	Rent	O	R					
2. LPL Financial IRA #1	E	Dividend	O	T					
3. - Am. Beacon High Yield Fund					Sold (part)	04/28/15	J		
4. - Am. Beacon Lg Cap Value Fund					Sold (part)	04/28/15	J		
5. - Am. Beacon Sm Cap Value Fund					Buy	04/28/15	K		
6. - Am. Century Mid Cap Value Fund					Buy	08/19/15	K		
7. - Am. Century Real Estate Fund					Sold (part)	04/28/15	J		
8. - Am. Funds Cap. Income Builder Fund					Sold (part)	04/28/15	J		
9. - Artisan Mid Cap Fund					Buy (add'l)	04/28/15	J		
10. - Artisan Small Cap Value Fund					Sold	04/28/15	K		
11. - Clearbridge Aggressive Growth Fund					Buy	04/28/15	K		
12. - DWS CROCI International Fund					Buy	04/28/15	K		
13. - DWS Floating Rate Fund					Sold	04/28/15	K		
14. - DWS Select Alt. Allocation Fund					Sold	12/08/15	K		
15. - JP Morgan Prime Money Mkt Acct									
16. - Janus Venture Fund					Sold (part)	04/28/15	J		
17. - Natixis ASG Global Alt. Fund					Sold (part)	04/28/15	J		

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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)

18. - Oakmark International Fund									
19. - Oakmark Select Fund					Buy (add'l)	12/09/15	K		
20. - Oppenheimer Dev. Mkts Fund					Buy (add'l)	04/28/15	J		
21. - Perkins Mid Cap Value Fund					Sold	04/28/15	J		
22. - Prudential Total Return Bond Fund					Buy	04/28/15	L		
23. - RS Small Cap Growth Fund									
24. - TCW Select Equities Fund					Sold	04/28/15	L		
25. - TCW Total Return Fund					Sold	04/28/15	K		
26. - Touchstone Sands Select Fund									
27. LPL Financial IRA #2	A	Dividend	K	T					
28. - Janus Global Allocation Mut Fund					Buy	1/14/15	J		
29. - Goldman Sachs Bank USA Cash Acct					Buy	12/31/15	J		
30. Trust # 1	E	Dividend	O	T					
31. - DFA Intern'l Core Equity Ptf Fund					Sold	10/28/15	M		
32. - DFA US Core Equity 2 Fund					Sold	10/28/15	N		
33. - DFA Emerg Mkts Core Equity Fund					Sold	10/28/15	L		
34. - DFA Intern'l Sm Cap Value Fund					Sold	10/28/15	L		

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 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)

35. - DFA US Small Cap Value Port Fund					Sold	10/28/15	L		
36. - DFA US Large Cap Value Port Fund					Sold	10/28/15	L		
37. - DFA Real Estate Ptf Fund					Sold	10/28/15	K		
38. - DFA Global Real Estate Sec Ptf Fund					Sold	10/28/15	K		
39. - DFA Intern'l Value Ptf Fund					Sold	10/28/15	J		
40. - Vanguard Intern'l Equity Index Fund					Sold	10/29/15	J		
41. - Vanguard REIT ETF Index Fund					Sold	10/29/15	J		
42. - FDIC Insured Deposit Acct					Sold	10/28/15	J		
43. - Am. Beacon Sm Cap Value Fund					Buy	11/30/15	K		
44. - Am. Beacon Birdgeyway Lg Cap Fund					Buy	12/30/15	K		
45. - Am Century Mid Cap Value Fund					Buy	12/30/15	K		
46. - Henderson Inter'l Opportunities Fund					Buy	11/30/15	K		
47.					Buy (add'l)	12/30/15	K		
48. - iShares Core S&P 500 ETF Fund					Buy	10/29/15	L		
49.					Buy (add'l)	12/30/15	L		
50. - Janus Enterprise Mut Fund					Buy	10/29/15	K		
51. - Natixis ASG Global Alternatives Fund					Buy	10/29/15	L		

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 \$5,000,000	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 7 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)

52. - Oppenheimer Developing Mkt Fund					Buy	10/29/15	K		
53. - Prudential Absolute Return Bond Fund					Buy	10/29/15	K		
54. - Ridgeworth Float. Rate High Income Fund					Buy	10/29/15	K		
55. - Touchstone Small Cap Growth Fund					Buy	11/30/15	K		
56. - Vanguard Growth ETF Fund					Buy	11/30/15	L		
57. - Goldman Sachs Bank USA Cash Acct					Buy	10/29/15	M		
58. Am. Century Equity Income Mut. Fund	A	Dividend	J	T	Sold (part)	08/26/15	K		
59.					Buy (add'l)	12/15/15	J		
60. Am. Century Value Investor Mut. Fund	B	Dividend	K	T	Buy	08/26/15	K		
61. Artisan Mid Cap. Mut. Fund		None			Sold	11/13/15	J	A	
62. Deutsche Managed Muni. Bond Mut. Fund	B	Dividend	K	T					
63. Henderson Euro. Focus Mut. Fund	A	Dividend	J	T					
64. Janus Venture Mut. Fund	A	Dividend	J	T					
65. Oakmark Select Mut. Fund		None			Sold	08/26/15	J	E	
66. Oakmark Fund Mutual Fund	A	Dividend	K	T	Buy	08/26/15	J		
67. Goldman Sachs Bank USA Cash Acct	A	Interest	J	T	Buy	08/26/15	J		
68. Bright Directions College Savings 9-12 A Portfolio		None			Buy (add'l)	01/18/15	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 \$5,000,000	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 8 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)
69.					Buy (add'l)	02/18/15	J		
70.					Buy (add'l)	03/17/15	J		
71.					Sold	03/18/15	M		
72. Bright Directions College Savings 13-16 Portfolio		None	M	T	Buy	03/18/15	M		
73.					Buy (add'l)	04/17/15	J		
74.					Buy (add'l)	05/18/15	J		
75.					Buy (add'l)	06/17/15	J		
76.					Buy (add'l)	07/17/15	J		
77.					Buy (add'l)	08/17/15	J		
78.					Buy (add'l)	09/17/15	J		
79.					Buy (add'l)	10/19/15	J		
80.					Buy (add'l)	11/17/15	J		
81.					Buy (add'l)	12/17/15	J		
82. Bright Directions College Savings 13-16 Portfolio		None			Buy (add'l)	01/17/15	J		
83.					Buy (add'l)	02/17/15	J		
84.					Sold	02/17/15	M		
85. Bright Directions College Savings 17-20 Portfolio		None	M	T	Buy	02/17/15	M		

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 \$5,000,000	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 9 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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)
86.					Buy (add'l)	03/17/15	J		
87.					Buy (add'l)	04/17/15	J		
88.					Buy (add'l)	05/18/15	J		
89.					Buy (add'l)	06/17/15	J		
90.					Buy (add'l)	07/17/15	J		
91.					Buy (add'l)	08/17/15	J		
92.					Buy (add'l)	09/17/15	J		
93.					Buy (add'l)	10/19/15	J		
94.					Buy (add'l)	11/17/15	J		
95.					Buy (add'l)	12/17/15	J		
96. █ Jeffery, LLC		None	L	W					
97. Apple (AAPL)	A	Dividend	L	T					
98. Revolution Lighting (RVLT)		None	J	T					
99. Schwab One Interest Account	A	Interest	J	T					
100. 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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 11

Name of Person Reporting

Lee, John Z.

Date of Report

05/13/2016

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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544