

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Gottschall, Joan B.	2. Court or Organization U.S. District Court, NDIL	3. Date of Report 06/29/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge--senior status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 219 South Dearborn Street Room 2356 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. Insert signature on last page.		

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.	Member	Visiting Committee to the Divinity School, University of Chicago
2.	Member, Board of Directors	Martin Marty Center at the University of Chicago Divinity School
3.	Member	Friends of the University of Sussex
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.		

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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.)*DATESOURCE AND TYPEINCOME

(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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Vanguard Wellington Fund	A	Dividend	K	T					
2. Vanguard Wellesley Fund	A	Dividend	K	T					
3. Vanguard Index Trust	A	Dividend	L	T					
4. Vanguard Prime Portfolio	A	Dividend	K	T					
5. Fed Empl Credit Union Acts	A	Interest	J	T					
6. IBM c/stock	A	Dividend	K	T					
7. Intel c/stock	A	Dividend	J	T					
8. Waste Management c/stock	A	Dividend	J	T					
9. Vanguard Tax-Managed Growth & Income Fund (Admiral Fund)	A	Dividend	J	T					*See Part VIII, n. 1
10. Hewlett-Packard c/stock	A	Dividend	J	T					
11. CVS Caremark c/stock	A	Dividend	J	T					
12. Vanguard Capital Opportunity Fund	A	Dividend	J	T					
13. BlackRock Large Cap Value	A	Dividend	J	T					
14. BlackRock Value Opportunities	A	Dividend	J	T					
15. Dodge & Cox Fds Intl Stk Fd	A	Dividend	J	T					
16. Lancaster Cnty Neb. School Dist 001 Lincoln PS Bond	A	Interest			Redeemed	01/18/11	J		
17. Orange City, NC Pub Impt Bond	A	Interest			Redeemed	02/01/11	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 H = \$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	

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18. Spring Branch Tx School Dist. Bond	A	Interest			Redeemed	02/15/11	J		
19. Garland TX G/O Bond	A	Interest			Redeemed	02/15/11	K		
20. St. Joseph Cnty Hosp Auth Bond	B	Interest			Redeemed	02/15/11	K		
21. Calif. G/O Bond	A	Interest			Redeemed	03/01/11	K		
22. Monroe Twp NJ Brd Ed/Gloucester Cty G/O Bond	A	Interest			Redeemed	03/01/11	J		
23. Seattle WA Mun Lt & Pwr	A	Interest			Redeemed	03/01/11	J		
24. Wausau WI School Dist. Bond	A	Interest			Redeemed	03/01/11	K		
25. Denton TX Util Sys Bond	A	Interest			Redeemed	06/01/11	K		
26. Tipp City Ohio Bond	A	Interest			Redeemed	06/01/11	K		
27. Jackson Cty OR School Dist. Bond	A	Interest			Redeemed	06/15/11	J		
28. Arizona St. Transprt Brd Hwy Rev Bond	A	Interest			Redeemed	07/01/11	J		
29. NJ Ed. Facs Ath Rev. Bond	A	Interest			Redeemed	07/01/11	K		
30. Pennysl. St. Tpk Comm Bond	A	Interest			Redeemed	07/15/11	J		
31. Philadelphia PA Gas Wks Bond	A	Interest			Redeemed	08/01/11	J		
32. Hopewell Valley NJ Rgl School Dist Bond	B	Interest			Redeemed	08/15/11	K		
33. San Antonio TX Indpt Bldg Serv Bond	A	Interest			Redeemed	08/15/11	K		
34. San Mateo CA Un High Sch Dist Bond	A	Interest			Redeemed	09/01/11	J		

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35. Hillsborough Cty FLA Sch Dist Bond	B	Interest			Redeemed	10/03/11	K		
36. Tampa FL Sales Tx Rev. Bond	B	Interest			Redeemed	07/01/11	K		
37. Virginia College Bldg. Auth Ed Fac Bond	B	Interest			Redeemed	10/03/11	K		
38. Jefferson Cty Colo Open Space Sales Tx Bond	B	Interest			Redeemed	11/01/11	K		
39. NY NY Ser A G/O Bond	A	Interest			Redeemed	11/01/11	J		
40. Ohio St. Wtr Dev Auth Rev Fresh Water Bond	B	Interest			Redeemed	12/01/11	K		
41. Polk Cty WI Crp Purp FGIC B/E Util Bnd	B	Interest			Redeemed	12/01/11	K		
42. Snohomish Cty WAS Tax G/O Bond	A	Interest			Redeemed	12/01/11	J		
43. Balanced Fund Inc.	B	Int./Div.	M	T					
44. Capital Income Bldr	C	Int./Div.	M	T					
45. Capital World Growth Inc. Fnd	C	Int./Div.	L	T					
46. Income Fnd Amer Inc.	C	Int./Div.	M	T					
47. Bank Deposit Sweep (JP Morgan Chase)									* See Part VIII, n. 2
48. Vanguard Fix. Inc. Sec. Fund	A	Int./Div.	L	T					
49. Vanguard Wellesley Inc. Fund Investr Cl	B	Int./Div.	K	T					* See Part VIII, n.3
50. Vanguard Wellington Fund Investr Cl	A	Int./Div.	K	T					* See Part VIII, n.3
51. St. Louis Airpt Rev Bnd	A	Interest			Buy	3/7/11	K		

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52. St. Louis Airt Rev Bnd	A	Interest			Redeemed	7/1/11	K		
53. Cleve Oh Wtr Rev Bd		None	K	T	Buy	10/17/11	K		* See Part VIII, n. 7
54. Mass..Fin.Agy Bd		None	K	T	Buy	8/2/11	K		
55. Clark-Pleasant Ind Sch Bd	A	Interest	K	T	Buy	3/10/11	K		
56. Harford Cnty Md Bd		None	K	T	Buy	7/29/11	K		
57. Cal St. G/O Bd		None	J	T	Buy	8/24/11	J		
58. Edison Twp NJ Bd		None	K	T	Buy	9/8/11	K		
59. Montgomery Cty Md Bd. Cons Pub Impt Ser A		None	K	T	Buy	10/18/11	K		
60. Fort Lee NJ Bd		None	K	T	Buy	8/26/11	K		
61. TxTech Univ 7th Ser.		None	J	T	Buy	8/24/11	J		
62. NJ Econ Dev Bd	A	Interest	K	T	Buy	3/8/11	K		
63. Ohio St. Com Schs Bd	A	Interest	J	T	Buy	8/26/11	J		
64. Fairfax Cnty Va Wtr Bd	A	Interest	J	T	Buy	8/25/11	J		
65. Louisiana St Ser A Bd	A	Interest	J	T	Buy	8/4/11	J		
66. Portland Me B/E Bd		None	K	T	Buy	12/28/11	K		
67. University North Tx Bd	A	Interest	J	T	Buy	8/24/11	J		
68. Dowagiac Mi Sch Dist Bd	A	Interest	J	T	Buy	9/1/11	J		

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69. Huntsville Ala Wts Bd	A	Interest	J	T	Buy	3/15/11	J		
70. Ca St Dept Wtr Bd	A	Interest	J	T	Buy	10/19/11	J		
71. Mnt San Antonio Ca Cmnty Cllg Bd	A	Interest	K	T	Buy	3/14/11	K		
72. Tenn St Scho Bd Bd	A	Interest	K	T	Buy	8/5/11	K		
73. Boone Cnty Ky Sch Dist Bd	A	Interest	J	T	Buy	8/4/11	J		
74. New York NY Ser O G/O Bd	A	Interest	K	T	Buy	02/17/11	K		
75. New Hanover Cnty NC Bd	A	Interest	J	T	Buy	02/17/11	J		
76. Anchorage Alaska Ser B Bd		None	K	T	Buy	12/27/11	K		
77. Norfolk VA Ref Cap Bd		None	J	T	Buy	09/01/11	J		
78. Tinton Falls NJ G/O Bd	A	Interest	J	T	Buy	02/17/11	J		
79. Hamden CT Prerefunded Ser A G/O Bd		None	J	T	Buy	12/28/11	J		
80. Hamden CT Unrefunded Balance Ser A G/O Bd		None	J	T	Buy	12/28/11	J		
81. North Brunswick Twp NJ Bd	A	Interest	K	T	Buy	03/15/11	K		
82. Monmouth Cnty NJ Util Bd	A	Interest	J	T	Buy	03/16/11	J		
83. Berryessa CA Sch Dist Bd		None	K	T	Buy	12/28/11	K		
84. Raven Hills Tex Higher Ed Bd		None	J	T	Buy	10/18/11	J		
85. Avery Tex Ranch Rd Dist Bd	A	Interest	K	T	Buy	07/14/11	K		

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86. Ector Cnty Tx Indpt S/D Bd	A	Interest	K	T	Buy	02/17/11	J		
87. University Kans Hosp Bd		None	J	T	Buy	12/28/11	J		
88. Rhode Is St & Prov.Plnts Bd	A	Interest	J	T	Buy	03/14/11	J		
89. Adams & Arapahoe Cntys Bd	A	Interest	J	T	Buy	10/18/11	J		
90. Arlington Cty Va Dev Auth Bd	A	Interest			Redeemed	7/1/11	J		See Part VIII, n. 8
91. Avon Lk Ohio Ref G/O Bd	A	Interest			Buy	03/04/11	J		
92. Avon Lk Ohio Ref G/O Bd	A	Interest			Redeemed	12/1/11	J		

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

1. Part VII, line 9: The company converted all the shares in this fund to shares in its Admiral Fund. Henceforth, this asset will be identified as "Admiral."
2. This asset, set forth on line 78 of my 2010 Report, was listed in error. All my JP Morgan Chase accounts were closed in 2010 and reported closed in 2010. I purchased no such asset during 2010, contrary to what is stated on line 78 of the 2010 Report.
3. Part VII, lines 49-50. The data reported last year on these funds was incorrect. The Wellesley Fund (FDR 2010, line 80) should have reported income (column B1) as B, not D. The value (columns C1 and D3) should have been reported as K, not M. The Wellington Fund (FDR 2010, line 81) had income (column B1) of A, not B. The value (column C1) was K, not L. I believe that in determining income and value, I combined the Vanguard funds reported on lines 1 and 2 with "Investr CI" funds having the same names. This year's report corrects these entries.
4. The purchase price for many bonds includes "accrued interest." In purchasing the bond, I paid for any interest accrued as of the date of purchase as part of the purchase price. When I subsequently received an interest payment, accurate accounting would require the interest accrued as of the date I bought the bond to be subtracted from the interest payment I received. For the sake of clarity, and to make certain that this Report is consistent with my brokerage statements, I did not perform this subtraction. I simply reported the total amount of interest paid.
5. Part VII, line 90: This asset was acquired on 9/23/10 but was accidentally omitted from the 2010 FDR. The income during 2010 was A. The purchase price was category J and the value method was T.

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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/ **Joan B. Gottschall**

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