

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) HART, WILLIAM T.	2. Court or Organization NORTHERN DISTRICT OF ILLINOIS	3. Date of Report 05/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. SENIOR DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 219 South Dearborn Street Room 2502 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. DIRECTOR	NORTHERN DISTRICT OF ILLINOIS COURT HISTORICAL ASSOCIATION, an Illinois not-for-profit corporation
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.)*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.)*

<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. (H) IRA									
2. --NUVEEN PFD & INCOME	D	Interest	L	T					
3. --EXCO Resources INC	C	Interest	L	T					
4. --M&T Capital Trust									
5. --PETROAS INTL FIN CO	C	Interest			Sold	05/27/16	K	A	
6. ANGLOGOD ASHANTI HLDGS PLC	B	Interest			Sold	05/27/16	K	A	
7. --U.S. Steel Corp. Bond	B	Interest			Sold	11/15/16	L	A	
8. WELLS FARGO & CO	C	Interest			Sold	05/25/16	L	B	
9. --JP Morgan Deposit Account B	A	Interest			Closed	04/14/16	J	A	
10. BANK AMER CORP	C	Interest			Sold	12/22/16	M	D	
11. --Cliffs Nat. Res (CLF)	A	Interest	J	T					
12. --Freeport-McMoRan (FCX)	A	Interest	J	T					
13. --First Energy Corp. (FE)	A	Interest	K	T					
14. --Orange-Spon FADR	A	Interest			Sold	06/21/16	K	D	
15. JPMRF	C	Interest			Sold	06/30/16	L	B	
16. Royal Dutch	A	Interest	J	T					
17. JPMPRG	A	Interest			Sold	05/20/16	J	A	

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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☐ 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 I (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. EXCO R. Inc.	B	Interest			Sold	12/08/16	K	A	
19. First Energy	A	Dividend			Sold	12/30/16	K	A	
20. GLAXOSK	A	Dividend			Sold	05/20/16	J	A	
21. Pfizer (FPE)		None	J	T	Buy	03/11/16	J		
22. Osterweis (OSTIX)		None	K	T	Buy	11/09/16	K		
23. Doubleline (DLXNX)		None	J	T	Buy	11/09/16	J		
24. Doubleline (DLTNX)		None	J	T	Buy	11/09/16	J		
25. Metropolitan West (MWCX)		None	J	T	Buy	11/09/16	J		
26. Metropolitan West (MWCX)		None	J	T	Buy	11/15/16	J		
27. Osterweis (OSTIX)		None	J	T	Buy	11/15/16	J		
28. Doubleline (DLSNX)		None	J	T	Buy	11/15/16	J		
29. Doubleline(DLTNX)		None	J	T	Buy	11/16/16	J		
30. Doubleline (DLSNX)		None	K	T	Buy	12/30/16	K		
31. Doubleline (DLTNX)		None	K	T	Buy	12/30/16	K		
32. Metropolitan West (MCRX)		None	K	T	Buy	12/30/16	K		
33. Osterweis (OSTIX)		None	K	T	Buy	12/30/16	K		
34. (H) J.P. Morgan Sec. LLC TRUST ACCT									

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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35. British Petroleum	B	Dividend	K	T					
36. KKR Fin. (KNFRR)	C	Dividend			Sold	09/14/16	L	C	
37. Duke Energy	A	Dividend			Sold	06/21/16	K	D	
38. PEABODY ENERGY CORP	C	Interest			Sold	12/22/16	K	A	
39. Bristol Meyers Squibb	B	Dividend			Sold	05/19/16	L		
40. General Electric	A	Dividend			Sold	05/19/16	K		
41. Blackrock Mont.	C	Dividend			Sold	06/21/16	L	A	
42. CHS INC	B	Dividend			Sold	06/21/16	K	A	
43. Deutsche BK Cap III	B	Dividend			Sold	05/20/16	K	B	
44. Vale SA (Vale)	A	Interest			Sold	05/19/16	J	A	
45. Goldman Sachs	B	Dividend			Sold	11/15/16	K	A	\
46. JP Morgan Dep. Ac B	A	Interest			Closed	04/14/16	J	A	
47. Transoceanic, Inc.	B	Interest			Sold	10/24/16	K	A	
48. J.P. Morgan Chase	A	Interest	J	T					
49. Schwab Corp PFD	B	Dividend	K	T					
50. GSKRLC	A	Dividend			Sold	05/20/16	J	A	
51. MSCI (EFA)		None	J	T	Buy	12/30/16	J		

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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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52. Vanguard (VTI)		None	K	T	Buy	12/30/16	K		
53. Wells Fargo (PFD)	A	Dividend	K	T	Buy	01/19/16	K		
54. Bank of Amer. (BKRRP)	A	Interest	J	T	Buy	01/29/16	J		
55. Vanguard (FVWIX)	A	Dividend	J	T	Buy	06/24/16	J		
56. MSCI EAFE (EFA)		None	J	T	Buy	11/09/16	J		
57. Vanguard (VTI)	A	Dividend	K	T	Buy	11/09/16	K		
58. Wells Fargo	A	Dividend			Sold	06/24/16	K	B	
59. (H) Stofan Agazzi Acct.									
60. ILL ST UNIV CTF	A	Interest	K	T					
61. Walgreen	A	Dividend	J	T					
62. Romeoville, IL GO	A	Interest	K	T					
63. Wash. St. Higher Ed. Fac Bond	B	Interest	K	T					
64. Ill. St. U. Rev. B	A	Interest			Redeemed	04/01/16	K	A	
65. Hummer Sweep Act.	A	Interest	K	T					
66. DuPage Cty. H.S.B.	B	Interest	K	T	Buy	03/09/16	K		
67. Harris BMO Bank (Checking)	A	Interest	L	T					
68. Harris BMO Bank (Savings)	A	Interest	M	T					

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69. Mass. Mut. Life Ins. (Paid Up)	A	Dividend	K	T					
70. The Clare Residency Deposit Acct.		None	O	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ WILLIAM T. HART

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