

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 06/28/2013
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 01/01/2012 to 12/31/2012
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.		

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.		
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.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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	B	Dividend	L	T					
2. Vanguard Wellesley Fund	B	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					
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. Balanced Fund Inc.	B	Int./Div.	M	T					
17. Capital Income Bldr	C	Int./Div.	M	T					

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 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. Capital World Growth Inc. Fnd	C	Int./Div.	M	T					
19. Income Fnd Amer Inc.	C	Int./Div.	M	T					
20. Vanguard Fix. Inc. Sec. Fund*	A	Int./Div.	L	T					
21. Vanguard Wellesley Inc. Fund Investr C1*	D	Int./Div.	N	T	Buy (add'l)	03/08/12	L		*See Part VIII, n.1
22. Vanguard Wellington Fund Investr C1	C	Int./Div.	M	T	Buy (add'l)	03/08/12	K		*See Part VIII, n.1
23. Cleve Oh Wtr Rev Bd	A	Interest			Redeemed	01/03/12	K		
24. Mass Fin Agy Bd	A	Interest			Redeemed	01/03/12	K		
25. Clark-Pleasant Ind Sch Bd	A	Interest			Redeemed	01/17/12	K		
26. Harford Cnty Md Bd	A	Interest			Redeemed	01/17/12	K		
27. Cal St. G/O Bd	A	Interest			Redeemed	02/01/12	J		
28. Edison Twp NJ Bd	A	Interest			Redeemed	02/01/12	J		
29. Montgomery Cty Md Bd Cons Pub Impt Ser A	A	Interest			Redeemed	02/01/12	K		
30. Fort Lee NJ Bd	A	Interest			Redeemed	02/15/12	K		
31. TxTech Univ 7th Ser	A	Interest			Redeemed	02/15/12	J		
32. NJ Econ Dev Bd	A	Interest			Redeemed	03/01/12	K		
33. Ohio St. Com Schs Bd	A	Interest			Redeemed	03/15/12	J		
34. Fairfax Cnty Va Wtr Bd	A	Interest			Redeemed	04/02/12	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. Louisiana St Ser A Bd [REDACTED]	A	Interest			Redeemed	04/02/12	J		
36. Portland Me B/E Bd [REDACTED]	A	Interest			Redeemed	04/02/12	K		
37. University North Tx Bd [REDACTED]	A	Interest			Redeemed	04/16/12	J		
38. Dowagiac Mi Sch Dist Bd [REDACTED]	A	Interest			Redeemed	05/01/12	J		
39. Huntsville Ala Wts Bd [REDACTED]	A	Interest			Redeemed	05/01/12	J		
40. Ca St Dept Wtr Bd [REDACTED]	A	Interest			Redeemed	05/01/12	J		
41. Mnt San Antonio Ca Cmnty Cllg Bd [REDACTED]	A	Interest			Redeemed	05/01/12	K		
42. Tenn St Scho Bd Bd [REDACTED]	A	Interest			Redeemed	05/01/12	J		
43. Boone Cnty Ky Sch Dist Bd [REDACTED]	A	Interest			Redeemed	06/01/12	J		
44. New York NY Ser O G/O Bd [REDACTED]	A	Interest			Redeemed	06/01/12	J		
45. New Hanover Cnty NC Bd [REDACTED]	A	Interest			Redeemed	06/01/12	J		
46. Anchorage Alaska Ser B Bd [REDACTED]	B	Interest			Redeemed	07/02/12	K		
47. Norfolk VA Ref Cap Bd [REDACTED]	A	Interest			Redeemed	07/02/12	J		
48. Tinton Falls NJ G/O Bd [REDACTED]	A	Interest			Redeemed	07/03/12	J		
49. Hamden CT Prerefunded Ser A G/O Bd [REDACTED]	A	Interest			Redeemed	07/16/12	J		
50. Hamden CT Unrefunded Balance Ser A G/O Bd [REDACTED]	A	Int./Div.			Redeemed	07/16/12	J		
51. North Brunswick Twp NJ Bd [REDACTED]	B	Interest			Redeemed	07/16/12	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 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 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. Monmouth Cnty NJ Util Bd	A	Interest			Redeemed	07/16/12	J		
53. Berryessa CA Sch Dist Bd	A	Interest			Redeemed	08/01/12	K		
54. Raven Hills Tex Higher Ed Bd	A	Interest			Redeemed	08/01/12	J		
55. Avery Tex Ranch Rd Dist Bd	B	Interest			Redeemed	08/15/12	K		
56. Ector Cnty Tx Indpt S/D Bd	3 A	Interest			Redeemed	08/15/12	J		
57. University Kans Hosp Bd	8 A	Interest			Redeemed	09/04/12	J		
58. Rhode Is St & Prov.Plnts Bd	A	Interest			Redeemed	11/01/12	J		
59. Adams & Arapahoe Cntys Bd	A	Interest			Redeemed	12/03/12	J		
60. Columbus Ohio Ser 2001-1	1 A	Interest			Buy	03/12/12	K		
61. Columbus Ohio Ser 2001-1	A	Interest			Redeemed	11/15/12	K		
62. Constantine Mich Pub Schs	B	Interest			Buy	03/12/12	K		
63. Constantine Mich Pub Schs	B	Interest			Redeemed	11/01/12	K		
64. Franklin Lakes NJ Brd Ed	A	Interest			Buy	03/12/12	K		
65. Franklin Lakes NJ Brd Ed	A	Interest			Redeemed	08/01/12	K		
66. Hawaii ST Prerefunded Ser	A	Interest			Buy	03/12/12	J		
67. Hawaii ST Prerefunded Ser	A	Interest			Redeemed (part)	07/02/12	J		
68. Hawaii ST Prerefunded Ser	A	Interest			Redeemed	07/03/12	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = 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 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. Municipal Elec Auth GA [REDACTED]	A	Interest			Buy	03/12/12	J		
70. Municipal Elec Auth GA [REDACTED]	A	Interest			Redeemed	11/01/12	J		
71. New Brunswick NJ Sch [REDACTED]	B	Interest			Buy	03/12/12	K		
72. New Brunswick NJ Sch [REDACTED]	B	Interest			Redeemed	10/01/12	K		
73. New York ST Dorm Auth Lease [REDACTED]	A	Interest			Buy	03/12/12	K		
74. New York ST Dorm Auth Lease [REDACTED]	A	Interest			Redeemed	07/02/12	K		
75. Highlands Cnty FL Health [REDACTED]	A	Interest			Buy	03/13/12	J		
76. Highlands Cnty FL Health [REDACTED]	A	Interest			Redeemed	11/15/12	J		
77. California State G/O Unltd [REDACTED]	A	Interest	K	T	Buy	05/23/12	K		
78. District Columbia Wtr & Swr [REDACTED] - [REDACTED]	A	Interest	K	T	Buy	05/23/12	K		
79. New York NY Fiscal 2003 [REDACTED]	A	Interest	K	T	Buy	05/23/12	K		
80. St. Charles MO Sch Dist [REDACTED]	A	Interest	K	T	Buy	05/24/12	K		
81. Suffolk County NY Wtr [REDACTED]	B	Interest	K	T	Buy	05/25/12	K		
82. New York NY Prerefunded-F [REDACTED]	A	Interest	K	T	Buy	05/29/12	K		
83. Arlington Cnty VA Rfdg [REDACTED]	A	Interest	K	T	Buy	06/01/12	K		
84. Solano Cnty CA Cmnty College [REDACTED]		None	K	T	Buy	09/06/12	K		
85. New York ST Dorm Auth [REDACTED]	A	Interest	K	T	Buy	09/12/12	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 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 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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. Schenectady NY Indl Dev Agy AP-0		None	K	T	Buy	09/13/12	K		
87. Richmond VA Ser B		None	K	T	Buy	09/13/12	K		
88. Elizabeth Twp PA San Auth	A	Interest	K	T	Buy	09/18/12	K		
89. Seattle WA 2007		None	K	T	Buy	09/18/12	K		
90. Cleveland Ohio ST Univ	A	Interest	K	T	Buy	09/19/12	K		
91. New York NY Prerefunded Ser	A	Interest	K	T	Buy	09/19/12	K		
92. Washoe Cnty Nev Sch Dist	A	Interest	K	T	Buy	09/19/12	K		
93. Lincoln NE Elec Sys		None	J	T	Buy	09/20/12	J		
94. New York NY City Transitional		None	J	T	Buy	09/21/12	J		
95. New York ST Dorma Auth		None	J	T	Buy	12/03/12	J		
96. Puerto Rico Elec Pwr		None	K	T	Buy	12/05/12	K		
97. Arizona Tourism & Sports		None	J	T	Buy	12/06/12	J		
98. Suffolk VA Indl Dev Auth		None	K	T	Buy	12/06/12	K		
99. Seattle WA Mun Lt & Pwr		None	J	T	Buy	12/18/12	J		
100. Idaho St Bldg Auth Bldg		None	J	T	Buy	12/19/12	J		
101. Tarrant Regl Wtr Dist TX Wtr		None	J	T	Buy	12/19/12	J		
102. Clearfield Utah Sales		None	J	T	Buy	12/20/12	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 10 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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)
103. Wintrust Financial Corp. accounts*	A	Interest	M	T					*See Part VIII, n.2

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 11 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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

1.Part VII, lines 21 and 22. It appears that last year's report omitted a portion of each of these assets, understating the total value. This year's report reflects both the correct total amount and that the amount of each asset was increased by an additional purchase. The information set out in Column C for both lines 21 and 23 is now accurate, as far as I can tell. Last year the asset was designated "Investr CI." That designation is properly used for the portion of the assets which are held in an IRA account but not for the portion of the assets held in my Revocable Trust account. In order to combine the assets held in both accounts, I have omitted the "Investr CI" designation.

2.Part VII, line 103. This is a "sweep" account in both my brokerage and IRA accounts in which money is held pending investment; money is constantly being put into the account and taken out of the account. Wintrust uses various banks from among its subsidiaries, Hinsdale Bank and Trust and Lake Forest Bank and Trust during 2012. I undoubtedly had this sweep account during 2010 and 2011 but appear to have neglected to list it.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Gottschall, Joan B.

Date of Report

06/28/2013

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