

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) Cox, Susan E.	2. Court or Organization US District Court	3. Date of Report 05/14/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge -Full time	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 Ave. Room 1334 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.	Custodian	Custodial Account #1
2.	Custodian	Custodial Account #2
3.	Director	Helping Hand Rehabilitation Center
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. 2011

Baxter International - Salary & Bonus

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 PROVIDED1. Boston University Law
School

3/24/11

Boston, MA

Receive Award

Transportation

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. Fifth Third Bank	A	Interest	J	T					
2. Chase Bank	A	Interest	K	T					
3. Chase Bank	A	Interest	J	T					
4. Wells Fargo Bank	A	Interest	J	T					
5. US Employees Credit Union	A	Interest	J	T					
6. Baxter International - Exercisable Stock Options		None	N	T					
7. Baxter International - Unvested Stock Options		None	K	T					
8. Baxter Int'l Common	A	Dividend	L	T	Buy (add'l)	2/11/11	N		
9.					Sold (part)	2/11/11	N	A	
10. Edward Lifesciences Common		None	J	T					
11. Farm - Wilson County, KS (1/12th Interest)	A	Rent	K	W					
12. BAXTER INT'L 401K PLAN									
13. Stable Income Fund	C	Dividend	L	T					
14. Composite Fund	A	Dividend	L	T					
15. S&P 500 Equity Index Fund	A	Dividend	K	T					
16. General Equity Fund	A	Dividend	J	T					
17. International EAFE Equity Index Fund	A	Dividend	K	T					

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 (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000	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	P3 = \$250,000.001 - \$500,000.000 (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. Small Cap Fund	A	Dividend	K	T					
19. Baxter Int'l Common	A	Dividend	L	T					
20. BROKERAGE ACCOUNT #1									
21. AT&T Common	A	Dividend	J	T					
22. Aperam Common	A	Dividend			Spinoff (from line 24)	02/01/11	J		
23.					Sold	03/09/11	J	A	
24. Arcelor Mittal	A	Dividend			Sold	07/19/11	J	A	
25. Annaly Capital Mgt. Unit Trust	A	Dividend	J	T					
26. Basic Materials Ultra Sector	A	Dividend	J	T					
27. Bristol Myers Squibb Common	A	Dividend	J	T					
28. CVS Caremark Common	A	Dividend	J	T					
29. Diageo ADR Common	A	Dividend			Sold	03/09/11	J	B	
30. EBAY Common		None	J	T					
31. Exelon Common	A	Dividend	J	T	Buy (add'l)	03/09/11	J		
32. Fidelity Canada	A	Dividend	J	T					
33. Fidelity Cash Reserves Fund	A	Interest	J	T					
34. Fidelity New Markets Income	A	Dividend	J	T					

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35. Fidelity Select Consumer Staples	A	Dividend			Sold	03/09/11	J	A	
36. Fidelity Select Energy Fund	A	Dividend	J	T	Sold (part)	08/01/11	J	A	
37. First Energy	A	Dividend	J	T	Buy (add'l)	07/19/11	J		
38. General Electric Common	A	Dividend	J	T					
39. Harbor Bond Institutional Fund	A	Int./Div.	J	T					
40. HTC Corp Common		None			Buy	07/26/11	J		
41.					Sold	10/20/11	J	A	
42. iShares MSCI Brazil Index	A	Dividend			Sold	07/22/11	J	A	
43. iShares Silver Trust		None	J	T					
44. Kohlberg Kravis Roberts	A	Dividend			Buy	03/09/11	J		
45.					Sold	09/30/11	J	A	
46. Matthews Asia Dividend	A	Dividend	J	T	Buy	07/19/11	J		
47. Matthews China Fund	A	Dividend			Sold	09/28/11	J	B	
48. Matthews Pacific Tiger Fund	A	Dividend	J	T					
49. McDonalds Corp	A	Dividend	J	T					
50. New York Community Bank	A	Dividend	J	T					
51. Northern Property Trust	A	Dividend	J	T	Buy	10/20/11	J		

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52. PIMCO Investment Grade Corp Bond Fund	A	Int./Div.	J	T					
53. Pioneer High Yield Bond Fund	A	Int./Div.			Sold	03/10/11	J	B	
54. Provident Energy Trust	A	Royalty	J	T					
55. SPDR Gold Trust Shares		None	J	T					
56. Templeton Global Bond Fund	A	Dividend	J	T	Buy	03/09/11	J		
57. Vodafone Common	A	Dividend	J	T	Buy	10/20/11	J		
58. Walgreen Co. Common	A	Dividend			Sold	07/22/11	J	A	
59. Yum Brands Inc	A	Dividend	J	T					
60. BROKERAGE ACCOUNT #2									
61. AT&T Common	A	Dividend	J	T	Sold (part)	10/24/11	J	A	
62. Abbott Laboratories	A	Dividend	J	T					
63. Annaly Capital Management	A	Dividend	J	T	Buy	10/25/11	J		
64. Apple Inc. Common		None	J	T					
65. Baxter Int'l Common	A	Dividend	J	T					
66. Bell Aliant Reg Communications	A	Dividend	J	T					
67. Century Link Common	A	Dividend	J	T	Buy	10/25/11	J		
68. Coca Cola Common	A	Dividend	J	T					

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69. Colabor Group	A	Dividend			Sold	07/19/11	J	A	
70. Fidelity Muni Money Market Fund	A	Interest	J	T					
71. Fidelity Select Industrials	A	Dividend			Sold	09/26/11	J	A	
72. Ford Motor Co		None			Sold	07/19/11	J	A	
73. Frontier Communications	A	Dividend			Sold	07/19/11	J	A	
74. General Electric Common	A	Dividend	J	T					
75. IBM Common	A	Dividend	J	T					
76. iShares S&P Latin America 40 Index	A	Dividend			Sold	07/19/11	J	A	
77. JPMorgan Chase	A	Dividend	J	T					
78. Kimberly Clark Common	A	Dividend	J	T					
79. Matthews China Fund	A	Dividend			Sold	09/27/11	J	A	
80. Oracle Corp Common	A	Dividend	J	T	Buy	03/09/11	J		
81. Powershares ETF Int'l Dividend	A	Dividend	J	T					
82. Proshares Ultra Short 500		None			Buy	07/19/11	K		
83.					Sold	10/27/11	K	A	
84. SPDR Technology ETF		None	J	T					
85. Spy Puts June 16 2012 125		None	K	T	Buy	12/08/11	K		

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86. Transocean Limited Common	A	Dividend			Buy	03/09/11	J		
87.					Sold	12/20/11	J	A	
88. Unilever PLC Common	A	Dividend	J	T					
89. Vanguard Consumer Discretionary	A	Dividend			Sold	09/26/11	J	A	
90. Vanguard Short-Term Bond ETF	A	Dividend	J	T	Buy	07/19/11	J		
91. Vanguard Small Cap Index	A	Dividend			Sold	03/09/11	J	B	
92. Verizon Communications Common	A	Dividend	J	T					
93. Wells Fargo Advisors Emerging Markets	A	Dividend			Sold	09/27/11	J	A	
94. BROKERAGE ACCOUNT #3									
95. AT&T Common	A	Dividend	J	T					
96. Atlantic Power Corp	A	Dividend			Sold	03/09/11	J	A	
97. Apple Common		None	J	T					
98. Bristol Myers Squibb Common	A	Dividend	J	T					
99. Wells Fargo Advisors Emerging Markets	A	Dividend			Sold	9/27/11	J	A	
100. Fidelity Cash Fund	A	Interest	J	T					
101. Fidelity New Markets Income	A	Dividend	J	T	Buy	10/21/11	J		
102. Fidelity Pacific Basin	A	Dividend			Sold	09/27/11	J	A	

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103. Fidelity Select Consumer Staples	A	Dividend			Sold	03/09/11	J	A	
104. General Electric Common	A	Dividend	J	T					
105. iShares MSCI Brazil Index	A	Dividend			Sold	07/19/11	J	A	
106. iShares S&P Latin America 40 Index	A	Dividend			Sold	07/19/11	J	A	
107. Johnson & Johnson Common	A	Dividend	J	T					
108. Paychex Inc	A	Dividend	J	T					
109. Pimco Invest Grade Corp	A	Dividend	J	T	Buy	07/20/11	J		
110. Powershares DB Agriculture Fund		None	J	T	Buy	03/09/11	J		
111. Vanguard Small Cap Stock	A	Dividend			Sold	03/09/11	J	A	
112. Wells Fargo & Co	A	Dividend	J	T					
113. BROKERAGE ACCOUNT #4									
114. AT&T Common	A	Dividend	J	T					
115. Atlantic Power Corp	A	Dividend			Sold	03/09/11	J	A	
116. Apple Common		None	J	T					
117. Bristol Myers Squibb Common	A	Dividend	J	T					
118. Wells Fargo Advisors Emerging Markets	A	Dividend			Sold	9/27/11	J	A	
119. Fidelity Cash Fund	A	Interest	J	T					

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	(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. Fidelity New Markets Income	A	Dividend	J	T	Buy	10/21/11	J		
121. Fidelity Pacific Basin	A	Dividend			Sold	09/27/11	J	A	
122. Fidelity Select Consumer Staples	A	Dividend			Sold	03/09/11	J	A	
123. General Electric Common	A	Dividend	J	T					
124. iShares MSCI Brazil Index	A	Dividend			Sold	07/19/11	J	A	
125. iShares S&P Latin America 40 Index	A	Dividend			Sold	07/19/11	J	A	
126. Johnson & Johnson Common	A	Dividend	J	T					
127. Paychex Inc	A	Dividend	J	T					
128. Pimco Invest Grade Corp	A	Dividend	J	T	Buy	07/20/11	J		
129. Powershares DB Agriculture Fund		None	J	T	Buy	03/09/11	J		
130. Vanguard Small Cap Stock	A	Dividend			Sold	03/09/11	J	A	
131. Wells Fargo & Co	A	Dividend	J	T					
132. CUSTODIAL ACCOUNT #1									
133. Chase Bank	A	Interest	J	T					
134. CUSTODIAL ACCOUNT #2									
135. Chase Bank	A	Interest	J	T					
136. IL Bright Directions 529 Plan #1 - Fund 80A	B	Int./Div.	K	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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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)
137. IL Bright Directions 529 Plan #2 - Fund 60A	B	Int./Div.	K	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.)*

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Name of Person Reporting

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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/ Susan E. Cox**

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
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