

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 05/15/2014
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 01/01/2013 to 12/31/2013
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.	

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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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2013

Physician Anesthesia Associates

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1. Federal Judicial Center

02/04/2013-02/08/2013

Washington, D.C.

Judicial training

Transportation, meals, lodging

2. ICAS Summer Symposium

08/09/2013-08/10/2013

Philadelphia, PA

Speaker at conference

Transportation, meals, lodging

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.	Capital One	Mortgage on Rental Property #1, Barrington, IL	O
3.	Greentree Financial Services	Mortgage on Rental Property #1, Barrington, IL	M
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. Rental Property #1, Barrington, IL (2007 \$745,000)	E	Rent	O	R					
2. Freeborn & Peters 401 Retirement Plan	G	Dividend			Sold	08/28/13	O		
3. - DWS Equity 550 Index									
4. - Jensen Fund									
5. - Oppenheimer Global N									
6. - Putnam Intern'l Capital A									
7. - T Rowe Price New Horizon									
8. LPL Financial IRA	D	Dividend	O	T					
9. - Am. Beacon High Yield					Buy	09/05/13	K		
10.					Buy (add'l)	12/23/13	J		
11.					Buy (add'l)	12/26/13	J		
12. - Am. Beacon Lg Cap Value					Buy	09/15/13	L		
13.					Buy (add'l)	11/25/13	J		
14.					Buy (add'l)	12/23/13	J		
15. - Am. Century Real Estate					Buy	09/05/13	J		
16.					Buy (add'l)	10/09/13	J		
17.					Buy (add'l)	10/25/13	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 = \$250,000,001 - \$500,000,000	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.					Buy (add'l)	12/26/13	J		
19. - Artisan Mid Cap					Buy	09/05/13	K		
20.					Buy (add'l)	10/09/13	J		
21.					Buy (add'l)	11/22/13	J		
22.					Buy (add'l)	11/25/13	J		
23. - Artisan Small Cap Value					Buy	09/05/13	K		
24.					Buy (add'l)	10/09/13	J		
25.					Buy (add'l)	11/22/13	J		
26. - DWS Floating Rate					Buy	09/05/13	K		
27.					Buy (add'l)	10/09/13	J		
28. - DWS Select Alt. Allocation					Buy	09/05/13	J		
29.					Buy (add'l)	10/25/13	J		
30.					Buy (add'l)	11/25/13	J		
31.					Buy (add'l)	11/25/13	J		
32. - Janus Venture					Buy	09/05/13	J		
33.					Buy (add'l)	10/09/13	J		
34.					Buy (add'l)	11/05/13	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	
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35. - Natixis ASG Global Alt.					Buy	09/05/13	K		
36.					Buy (add'l)	10/25/13	J		
37.					Buy (add'l)	12/30/13	J		
38. - Oakmark International					Buy	09/05/13	K		
39.					Buy (add'l)	10/09/13	J		
40.					Buy (add'l)	12/20/13	J		
41. - Oakmark Select					Buy	09/05/13	K		
42.					Buy (add'l)	10/09/13	J		
43.					Buy (add'l)	12/20/13	J		
44. - Oppenheimer Dev. Mkts					Buy	09/05/13	K		
45.					Buy (add'l)	12/09/13	J		
46. - Perkins Mid Cap Value					Buy	09/05/13	K		
47.					Buy (add'l)	10/09/13	J		
48.					Buy (add'l)	11/25/13	J		
49.					Buy (add'l)	12/20/13	J		
50. - RS Small Cap Growth					Buy	09/05/13	K		
51.					Buy (add'l)	12/20/13	J		

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52. - TCW Select Equities					Buy	09/05/13	K		
53.					Buy (add'l)	12/31/13	J		
54. - TCW Total Return					Buy	10/25/13	K		
55. - Touchstone Sands Select					Buy	09/05/13	L		
56.					Buy (add'l)	10/09/13	J		
57.					Buy (add'l)	12/31/13	J		
58. - JP Morgan Prime Money Mkt Fund					Buy	09/05/13	J		
59. Bright Directions College Savings 9-12 A Portfolio		None	L	T					
60. American Fund Capital Income Builder Fund A	A	Dividend	J	T					
61. Schwab One Interest Account	A	Interest	J	T					
62. JP Morgan Chase Bank Accounts	A	Interest	M	T					
63. Blackrock College Advantage Plan		None			Sold	11/18/13	M		
64. Bright Directions College Savings 13-16 Portfolio		None	L	T	Buy	11/18/13	M		
65. 6720 Jeffery, LLC	D	Distribution	L	T					
66. Trust # 1	E	Dividend	O	T					
67. - DFA Intern'l Core Equity Ptf									
68. - DFA US Core Equity 2									

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69. - DFA Emerg Mkts Core Equity									
70. - DFA Intern'l Sm Cap Value									
71. - DFA US Small Cap Value Port									
72. - DFA US Large Cap Value Port									
73. - DFA Real Estate Ptf									
74. - DFA Global Real Estate Sec Ptf									
75. - DFA Intern'l Value Ptf									
76. - Vanguard Intern'l Equity Index									
77. - Vanguard REIT ETF Index									
78. - FDIC Insured Deposit Account									
79. Apple (AAPL)	A	Dividend	K	T					
80. Revolution Lighting (RVLT)		None	J	T					
81.					Buy (add'l)	04/25/13	J		

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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/ **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