

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Kapala, Frederick J.	2. Court or Organization District Court, N D Illinois	3. Date of Report 05/11/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 327 South Church Street Rockford, IL 61101		
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. Director	██████████, an Illinois not-for-profit corporation
2. Trustee	Trust #1
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. 12/31/2017	State of Illinois Retirement System, pension benefits payable at retirement at or after 55
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. 2017	State of Illinois - Appellate Court Judge retirement payments	\$190,747.92
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.	
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.				
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. Chase Bank cash account #4	A	Interest	L	T					
2. BMO Harris Bank cash account #1	A	Interest	K	T					
3. Scottrade Bank deposit program	A	Interest	J	T					
4. Universal Infotainment Systems Corporation (Y)									
5. IRA #1	A	Int./Div.	J	T					
6. -Telefonica Sa Spon Adr									
7. IRA #2	A	Int./Div.	K	T					
8. -CitiGroup									
9. Real Estate #1, Winnebago County, Illinois (2005, \$100,00)		None	L	R					
10. Real Estate #2, Winnebago County, Illinois (2003, \$25,000)		None	K	R					
11. Real Estate #3, Winnebago County, Illinois (\$56,397)		None			Sold	04/13/17	M		
12. Chase Bank cash account #1	A	Interest	J	T					
13. Chase Bank cash account #2	A	Interest	J	T					
14. Chase Bank cash account #3	A	Interest	K	T					
15. First Community Credit Union cash account #1	B	Interest	M	T					
16. First Community Credit Union cash account #2	A	Interest	J	T					
17. BMO Harris Bank cash account #2	B	Interest	N	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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☐ 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. Northwest Bank of Rockford cash account #1	A	Interest			Closed	07/07/17	M		
19. First Community Credit Union cash account #3	B	Interest	M	T					
20. First Community Credit Union cash account #4	A	Interest	J	T					
21. Rockford Bank and Trust cash account #1	C	Interest	N	T	Open	05/08/17	N		
22. BMO Harris Bank cash account #3	A	Interest	L	T	Open	05/23/17	L		
23. BMO Harris Bank cash account #4	A	Interest	L	T	Open	05/23/17	L		
24. Scottrade Investment Account (H)									
25. - GE Common Stock		None	M	T	Open	12/05/17	M		
26. Trust #1, trustee (H)									
27. -Real Estate #1, Boone County, Illinois (\$33,180) (2008)		None	K	Q					
28. -Real Estate #2, Winnebago County, Illinois (4,604)		None			Sold	04/13/17	M		
29. -Northwest Bank cash accounts	C	Interest	N	T					
30. -Stillman Bank cash account #2	A	Interest	K	T					
31. -First Community Credit Union cash account #1	A	Interest			Closed	05/06/17	M		
32. -First Community Credit Union cash account #2	A	Interest	J	T					
33. -Rockford Bank & Trust cash account	B	Interest			Closed	05/01/17	M		
34. -Rockford Bank & Trust cash account #2	B	Interest	M	T	Open	05/08/17	M		

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	
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35. -BMO Harris Bank cash account	B	Interest	M	T	Open	05/03/17	M		

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.)*

Part VII, Line 9 was purchased on July 12, 2005 for \$100,000.

Part VII, Line 10 was purchased on September 15, 2003 for \$25,000

Part VII, Line 11, the assessed value is \$56,397. The property was sold on April 13, 2017 for \$173,000. The filer's portion of the sale proceeds was \$42,385 or 24.5%. The property was sold at a loss.

Part VII, Line 27, the trust owns 11.06% of land that was appraised for \$300,000 on May 5, 2008. The trusts value in the land is \$33,180.

Part VII, Line 28, the trust owns 2% of land with an assessed value of \$230,193. The trusts value in the land is \$4,604. The land was sold on April 13, 2017 for \$173,000. The Trust's portion of the sale proceeds was \$3,460. The property was sold at a loss.

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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/ Frederick J. Kapala**

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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