AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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)	2. Court or Organization	3. Date of Report
DUGAN, DAVID W.	US District Court for the Southern District of Illinois	06/14/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2020 **to** 12/31/2020
7. Chambers or Office Address		
Illinois Southern District Court - East St. Louis, IL Melvin Price Federal Building and United States Courthouse 750 Missouri Avenue East St. Louis, IL 62201		

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.		
2.		
3.		

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. 2020	STATE OF ILLINOIS, CIRCUIT JUDGE	$171,684.00
2. 6/10/2020	GOLDENBERG HELLER ANTOGNOLI PC, WORK COMPLETED IN 2016	$6,667.00
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. 2020	[redacted], ADMINISTRATIVE EMPLOYEE
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.				

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
DUGAN, DAVID W.	06/21/2021

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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.	Checking Account - Busey Bank - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
2.	Savings Account - Busey Bank - CASH EQUIVALENT ACCOUNT	B	Int./Div.	M	T					
3.	Checking Account - Regions Bank - CASH EQUIVALENT ACCOUNT	A	Int./Div.			Closed	05/01/20	J		
4.	Savings Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
5.	Checking Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
6.	Cert of Deposit CNB - CASH EQUIVALENT ACCOUNT	C	Int./Div.	M	T					
7.	Savings Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
8.	IRA Account at Busey Bank cash equivalant account	A	Int./Div.			Merged (with line 106)	05/01/20	K		
9.	LIBERTY BANK IRA - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
10.	LIBERTY BANK IRA - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
11.	IRA Account at Liberty cash equivalent account	A	Int./Div.			Closed	05/01/20	J	A	
12.	Certificate of Deposit at Mid-America C.U. - CASH EQUIVALENT ACCOUNT	A	Int./Div.			Closed	12/19/20	J		
13.	THE EQUITABLE WHOLE LIFE POLICY	A	Int./Div.	M	T					
14.										
15.	Investment Account - CNB BANK - SEP 1 (H)									
16.	DFA Emerging Markets Core Equity I - SEP 1	A	Int./Div.			Sold	06/11/20	K		
17.	DFA International Small Company I - SEP 1	A	Int./Div.			Sold	06/11/20	K		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.	DFA US Small Cap I - SEP 1	A	Int./Div.			Sold	06/11/20	K		
19.	Fidelity Inter Index Institutional Prm - SEP 1	A	Int./Div.	K	T	Sold (part)	09/28/20	K	A	
20.	Fidelity Inter Index Institutional Prm - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
21.	Fidelity Mid Cap Index Institutional Prem - SEP 1	A	Int./Div.	K	T					
22.	Fidelity Mid Cap Index Institutional Prem - SEP 1	A	Int./Div.	K	T	Buy (add'l)	09/28/20	K		
23.	Fidelity Mid Cap Index Institutional Prem - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
24.	MFS Intl. Divers Fund CI R6 - SEP 1	A	Int./Div.			Sold	09/28/20	K	C	
25.	Vanguard Russell 1000 Index I #1848 - SEP 1	B	Int./Div.	M	T					
26.	Vanguard Russell 1000 Index I #1848 - SEP 1	A	Int./Div.	K	T	Buy (add'l)	09/28/20	K		
27.	Vanguard Russell 1000 Index I #1848 - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
28.	Hanmi Bank CD Los Angeles - SEP 1	A	Int./Div.			Matured	06/23/20	K		
29.	Sallie Mae Bank CD, Salt Lake City - SEP 1	A	Int./Div.	K	T					
30.	Bank of Nova Scotia Bond - SEP 1	A	Int./Div.	K	T					
31.	Oracle Corp Note - SEP 1	A	Int./Div.	K	T					
32.	Caterpillar Financial Services Note - SEP 1	A	Int./Div.	K	T					
33.	Penn Hills PA Go Ser. 2014b Bond - SEP 1	A	Int./Div.			Sold	05/01/20	K	A	
34.	Oakland Univ. MI Rev Gen Ref Bond - SEP 1	A	Int./Div.			Matured	03/01/20	K	A	

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2. Value Codes (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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
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DUGAN, DAVID W.	06/21/2021

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
35. Richland WA Elec Rev Bds Ser 2013a - SEP 1	A	Int./Div.			Sold	06/23/20	K	A	
36. Lake Orion MI CUSD Go Bds Ser 2015B - SEP 1	A	Int./Div.	K	T					
37. South Dakota Hsg Dev Auth. - SEP 1	A	Int./Div.	K	T					
38. Indianapolis IND Locpub Impt Bd Bk - SEP 1	A	Int./Div.	K	T					
39. North Carolina Hsg Fin AGY Hom - SEP 1	A	Int./Div.	K	T					
40. St. Angelo Tex Waterworks & Sewer Rev - SEP 1	A	Int./Div.	K	T					
41. Federal Home Loan Banks - SEP 1	B	Int./Div.	L	T					
42. Goldman Sachs Financial Square Treasury Solutions Institutional - SEP	A	Int./Div.			Sold	06/11/20	K	A	
43. United Group Inc. Note - SEP 1	A	Int./Div.			Sold	05/01/20	K	A	
44. BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 1	A	Int./Div.	K	T	Buy	10/29/20	K		
45. BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 1	A	Int./Div.	K	T	Buy (add'l)	11/05/20	K		
46. FIDELITY ADVISOR INTL SMALL CAP Z - SEP 1	A	Int./Div.	K	T	Buy	09/28/20	K		
47. FIDELITY ADVISOR INTL SMALL CAP Z - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
48. FULLER & THALER BEHAVIORAL SMALL CAP R6 - SEP 1	A	Int./Div.	K	T	Buy	09/28/20	K		
49. FULLER & THALER BEHAVIORAL SMALL CAP R6 - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
50. JPMORGAN EMERGING MARKETS EQUITY I - SEP 1	A	Int./Div.	K	T	Buy	09/28/20	K		
51. JPMORGAN EMERGING MARKETS EQUITY I - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		

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52. MFS RESEARCH INTERNATIONAL R6 - SEP 1	A	Int./Div.	K	T	Buy	09/28/20	K		
53. MFS RESEARCH INTERNATIONAL R6 - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
54. PRINCIPAL FDS INC REAL EST SEC - SEP 1	A	Int./Div.	K	T	Buy	09/28/20	K		
55. PRINCIPAL FDS INC REAL EST SEC - SEP 1	A	Int./Div.	J	T	Buy (add'l)	10/29/20	J		
56. CNB BANK - CASH EQUIVALENT ACCOUNT - SEP 1	A	Int./Div.	J	T					
57.									
58. Investment Account CNB BANK (H)									
59. CNB BANK Money Market - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
60. BAIRD AGGREGATE BOND FUND CLASS INSTL	A	Int./Div.	K	T					
61. BAIRD AGGREGATE BOND FUND CLASS INSTL	A	Int./Div.	K	T	Buy (add'l)	09/28/20	K		
62. DFA Emerging Markets Core Equity I	A	Int./Div.			Sold	09/28/20	J	A	
63. DFA Small Cap I	A	Int./Div.			Sold	09/28/20	J	A	
64. FEDERATED HERMES INST HIGH YIELD BOND	A	Int./Div.	K	T					
65. FEDERATED HERMES INST HIGH YIELD BOND	A	Int./Div.	J	T	Buy (add'l)	09/28/20	J		
66. Lord Abett Bond Debenture I	A	Int./Div.			Sold	09/28/20	J		
67. Lord Abett Short Duration Income	A	Int./Div.			Sold	09/28/20	J		
68. MFS Intl Diversificaiton Fund CI R6	A	Int./Div.			Sold	09/28/20	K	A	

1. Income Gain Codes: (See Columns B1 and D4) — 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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69. Vanguard Developed Mkts IND Adm	A	Int./Div.	J	T	Sold (part)	09/28/20	J		
70. Vanguard Large Cap IND Adm	A	Int./Div.	J	T	Sold (part)	09/28/20	J	A	
71. Vanguard MidCap Omdex Adm	A	Int./Div.	J	T	Sold (part)	09/28/20	J		
72. INVESTMENT ACCOUNT CNB BANK & TRUST - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T	Open	02/01/20	J		
73. PRINCIPAL FDS INC REAL EST SEC	A	Int./Div.	J	T	Buy	09/28/20	J		
74. MFS RESEARCH INTERNATIONAL R6	A	Int./Div.	J	T	Buy	09/28/20	J		
75. JPMORGAN EMERGING MARKETS EQUITY I	A	Int./Div.	J	T	Buy	09/28/20	J		
76. FULLER & THALER BEHAVIORAL SMALL CAP R6	A	Int./Div.	J	T	Buy	09/28/20	J		
77. FIDELITY ADVISOR INTL SMALL CAP Z	A	Int./Div.	J	T	Buy	09/28/20	J		
78.									
79. Investment Account Bank of Edwardsville (H) (Y)									
80. The BANK Institutional Money Market (Y)									
81. Baird Aggregate bond Institutional (Y)									
82. DFA Emerging Markets Core Equity I (Y)									
83. DFA Small Cap I (Y)									
84. Federated Institutional High Yield Bond (Y)									

1. Income Gain Codes: (See Columns B1 and D4)	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
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2. Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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85. Lord Abett Bond Debenture I (Y)									
86. Lord Abett Short Duration Income (Y)									
87. MFS Intl Diversificaiton Fund CI R6 (Y)									
88. Vanguard Developed Mkts IND Adm (Y)									
89. Vanguard Large Cap IND Adm (Y)									
90. Vanguard MidCap Omdex Adm (Y)									
91.									
92. Investment Account CNB BANK - SEP 2 (H)									
93. BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 2	A	Int./Div.	J	T					
94. BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 2	A	Int./Div.	J	T	Buy (add'l)	09/28/20	J		
95. Federated Hermes Institutional High Yield Bond Fund R6 - SEP 2	A	Int./Div.	J	T					
96. Lord Abbett bond Debenture Fund Class I - SEP 2	A	Int./Div.			Sold	09/28/20	J	A	
97. Lord Abett Short Duration Income Fund Class I - SEP 2	A	Int./Div.			Sold	09/28/20	J		
98. Vanguard Large Cap Index Fund Class I - SEP 2	A	Int./Div.			Sold	09/28/20	J	A	
99. Vanguard Mid-Cap Index Fund Admiral Shares - SEP 2	A	Int./Div.			Sold	09/28/20	J	A	
100. DFA US Small Cap Portfolio Institutional Class Fund - SEP 2	A	Int./Div.			Sold	08/13/20	J	A	
101. MFS International Diversification Fund Class R6 - SEP 2	A	Int./Div.			Sold	09/28/20	J	A	

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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
102. Vanguard Developed Markets Index Admiral Shares - SEP 2	A	Int./Div.	J	T	Sold (part)	09/28/20	J	A	
103. DFA Emerging Markets Core Equity Portfolio Institutional Class - SEP	A	Int./Div.			Sold	08/13/20	J	A	
104. Goldman Sachs Financial Square Treasury Solutions - SEP 2	A	Int./Div.			Sold	05/01/20	J	A	
105. VANGUARD RUSSELL 1000 INDEX INSTL - SEP 2	A	Int./Div.	J	T	Buy	09/28/20	J		
106. CNB BANK Money Market - CASH EQUIVALENT - SEP 2	A	Int./Div.	J	T					
107.									
108.									
109.									
110.									
111.									
112.									
113.									
114.									

1. Income Gain Codes: (See Columns B1 and D4)
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
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 (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
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 (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
U =Book Value V =Other W =Estimated

Name of Person Reporting	Date of Report
DUGAN, DAVID W.	06/21/2021

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

The name of the company with which the whole life policy was purchased on line 13 of Section VII, page 4 was changed from Metlife to The Equitable.

Name of Person Reporting	Date of Report
DUGAN, DAVID W.	06/21/2021

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/ DAVID W. DUGAN

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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