AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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	06/12/2022
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	01/01/2021 **to** 12/31/2021
	5b. ☐ Amended Report	
7. Chambers or Office Address		
Illinois Southern District Court - East St. Louis, IL Melvin Price Federal Building and United States Courthouse 750 Missouri Ave 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.			
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.	2021	[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.	06/12/2022

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.	Checking Account - Busey Bank - CASH EQUIVALENT ACCOUNT	A	Int./Div.	M	T					
2.	Savings Account - Busey Bank - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
3.	Savings Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
4.	Checking Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
5.	Cert of Deposit CNB - CASH EQUIVALENT ACCOUNT	C	Int./Div.			Sold	08/10/21	M		
6.	Savings Account ASSOCIATED BANK - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
7.	LIBERTY BANK IRA - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
8.	LIBERTY BANK IRA - CASH EQUIVALENT ACCOUNT	A	Int./Div.	J	T					
9.	THE EQUITABLE WHOLE LIFE POLICY	A	Int./Div.	M	T					
10.	Investment Account - CNB BANK - SEP 1 (H)									
11.	Fidelity Inter Index Institutional Prm - SEP 1	A	Int./Div.	K	T	Sold (part)	01/28/21	J	B	
12.	Fidelity Mid Cap Index Institutional Prem - SEP 1	B	Int./Div.	K	T	Sold (part)	01/28/21	K	D	
13.	Vanguard Russell 1000 Index I #1848 - SEP 1	C	Int./Div.	M	T	Sold (part)	01/28/21	K	D	
14.	Sallie Mae Bank CD, Salt Lake City - SEP 1	A	Int./Div.			Sold	03/22/21	K	A	
15.	Bank of Nova Scotia Bond - SEP 1	A	Int./Div.			Sold	07/21/21	K	A	
16.	Oracle Corp Note - SEP 1	A	Int./Div.	K	T					
17.	Caterpillar Financial Services Note - SEP 1	A	Int./Div.	K	T					

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.	06/12/2022

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.	Lake Orion MI CUSD Go Bds Ser 2015B - SEP 1	A	Int./Div.			Sold	05/03/21	K	A	
19.	South Dakota Hsg Dev Auth. - SEP 1	A	Int./Div.	K	T					
20.	Indianapolis IND Locpub Impt Bd Bk - SEP 1	A	Int./Div.	K	T					
21.	North Carolina Hsg Fin AGY Hom - SEP 1	A	Int./Div.	K	T					
22.	St. Angelo Tex Waterworks & Sewer Rev - SEP 1	A	Int./Div.	K	T					
23.	Federal Home Loan Banks - SEP 1	B	Int./Div.	L	T					
24.	BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 1	B	Int./Div.	L	T					
25.	BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 1	A	Int./Div.	L	T	Buy (add'l)	01/28/21	L		
26.	BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 1	A	Int./Div.	K	T	Buy (add'l)	08/26/21	K		
27.	FIDELITY ADVISOR INTL SMALL CAP Z - SEP 1	B	Int./Div.	K	T	Sold (part)	01/28/21	J	A	
28.	FULLER & THALER BEHAVIORAL SMALL CAP R6 - SEP 1	B	Int./Div.	K	T	Sold (part)	01/28/21	J	B	
29.	JPMORGAN EMERGING MARKETS EQUITY I - SEP 1	A	Int./Div.	K	T	Sold (part)	01/28/21	J	B	
30.	MFS RESEARCH INTERNATIONAL R6 - SEP 1	A	Int./Div.	K	T	Sold (part)	01/28/21	J	A	
31.	PRINCIPAL FDS INC REAL EST SEC - SEP 1	B	Int./Div.	K	T	Sold (part)	01/28/21	J	A	
32.	PRINCIPAL FDS INC REAL EST SEC - SEP 1	A	Int./Div.	K	T	Buy (add'l)	08/26/21	K		
33.	FEDERATED HERMES INST HIGH YIELD BOND - SEP 1	B	Int./Div.	K	T	Buy	05/13/21	K		
34.	FEDERATED HERMES INST HIGH YIELD BOND - SEP 1	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		

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	
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Dugan, David W.	06/12/2022

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)
35.	US TREASURY NOTE - SEP 1	A	Int./Div.	K	T	Buy	01/28/21	K		
36.	CNB BANK Money Market - CASH EQUIVALENT - SEP 1	A	Int./Div.	K	T					
37.										
38.	Investment Account CNB BANK (H)									
39.	BAIRD AGGREGATE BOND FUND CLASS INSTL	C	Int./Div.	L	T	Buy (add'l)	08/26/21	L		
40.	Federated Hermes Institutional High Yield Bond Fund R6	B	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
41.	PRINCIPAL FDS INC REAL EST SEC	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
42.	MFS RESEARCH INTERNATIONAL R6	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
43.	JPMORGAN EMERGING MARKETS EQUITY I	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
44.	FULLER & THALER BEHAVIORAL SMALL CAP R6	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
45.	FIDELITY ADVISOR INTL SMALL CAP Z	A	Int./Div.	J	T	Buy (add'l)	08/26/21	J		
46.	Vanguard Large Cap IND Adm	B	Int./Div.	L	T	Buy (add'l)	08/26/21	K		
47.	Vanguard Mid-Cap Index Fund Admiral Shares	A	Int./Div.	K	T	Buy (add'l)	08/26/21	J		
48.	Vanguard Developed Mkts IND Adm	A	Int./Div.	K	T	Buy (add'l)	08/26/21	J		
49.	CNB BANK Money Market - CASH EQUIVALENT	A	Int./Div.	J	T					
50.										
51.	Investment Account CNB BANK - SEP 2 (H)									

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
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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)
52. BAIRD AGGREGATE BOND FUND CLASS INSTL - SEP 2	A	Int./Div.	J	T					
53. Federated Hermes Institutional High Yield Bond Fund R6 - SEP 2	A	Int./Div.	J	T					
54. Vanguard Developed Markets Index Admiral Shares - SEP 2	A	Int./Div.	J	T					
55. VANGUARD RUSSELL 1000 INDEX INSTL - SEP 2	A	Int./Div.	J	T					
56. CNB BANK Money Market - CASH EQUIVALENT - SEP 2	A	Int./Div.	J	T					
57.									
58.									
59.									
60.									
61.									
62.									
63.									
64.									
65.									
66.									
67.									
68.									

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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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
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3. Value Method Codes (See Column C2)
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69.									
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1. Income Gain Codes: (See Columns B1 and D4)
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86.									
87.									
88.									
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102.									

1. Income Gain Codes: (See Columns B1 and D4)
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103.									
104.									
105.									
106.									
107.									
108.									
109.									
110.									
111.									
112.									

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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
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M =$100,001 - $250,000
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O =$500,001 - $1,000,000
P1 =$1,000,001 - $5,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Name of Person Reporting	Date of Report
Dugan, David W.	06/12/2022

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544