AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Gottschall, Joan B.	U.S. District Court, NDIL	05/02/2024
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**
District Judge--Senior Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
Room 2502 219 South Dearborn Street 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.***

I. POSITIONS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Member	Visiting Committee to the Divinity School, University of Chicago
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

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
1.		
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☑ 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☐ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.	Bruce Clinton	Round Trip Airfare from Chicago, IL Executive Airport to Mayo Clinic, Rochester, MN	$10,768.76
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Gottschall, Joan B.	05/02/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1. Vanguard Cash Res Fed MM Adm VMRXX 922906508 (IRA)	B	Dividend	K	T	Sold (part)	02/03/23	K		
2.					Sold (part)	04/20/23	K		
3.					Sold (part)	07/25/23	K		
4.					Sold (part)	10/20/23	K		
5.					Sold (part)	12/20/23	K		
6. Vanguard Wellesley Fund VWIAX (IRA)	C	Dividend	L	T					
7. Vanguard Wellington Fund VWENX (IRA)	C	Dividend	M	T					
8. Vanguard Index Trust VFIAX (IRA & INVESTMENT)	C	Dividend	M	T					
9. Vanguard Horizon Capital Opp Fund VHCAX (IRA)	A	Dividend	K	T					
10. Beal Bank USA CD Las Vegas NY ACT/365 (IRA)	C	Interest			Redeemed	12/27/23	M		
11. Schwab US Divident ETF Equity (IRA)	C	Dividend	M	T					
12. American Mut Fund AMRFX (IRA)	B	Dividend	M	T					
13. American Intermediate Bond Func CL FS IBAFX (IRA)	B	Dividend	L	T					
14. Vanguard Wellington Fund VWENX (Investment)	D	Dividend	M	T					
15. IBM c/stock	B	Dividend	K	T					
16. Intel c/stock	A	Dividend	K	T					
17. CVS Caremark c/stock	A	Dividend	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

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Gottschall, Joan B.	05/02/2024

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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)	
18. Dodge & Cox Fds Intl Stk Fd DODFX	A	Dividend	K	T					
19. American Funds Capital Income Bldr CAIFX	D	Dividend	M	T					
20. American Income Fund AMEFX	D	Dividend	M	T					
21. American Balanced Fund AMBFX	D	Dividend	N	T					
22. American Mutual Fund AMRFX	B	Dividend	M	T					
23. American Funds Capital World Growth Inc WGIFX	C	Int./Div.	M	T					
24. US Treasury Notes 9128285P1	A	Interest			Redeemed	11/30/23	L		
25. Wells Fargo Bank NA CD	A	Interest	L	T					
26. Fidelity Investments FNSXX Money Market	D	Interest	M	T					
27. Goldman Sachs Funds FMJXX	D	Interest	M	T					
28. Wintrust Fin Corp Accts (See No. 1 under Part VIII.)	A	Interest	L	T					
29. State Bank of the Lakes Account (See No. 2 under Part VIII.)		None	J	T					
30. Corpus Christi TX Util (See No. 3 under Part VIII.)	A	Interest			Redeemed	07/15/22	J		
31. Pennsylvania St Tpk	A	Interest			Redeemed	12/01/23	J		
32. Pennsylvania St Tpk	A	Interest			Redeemed	12/01/23	J		
33. Spokane WA Pub Facs Dist Hotel Motel	A	Interest			Redeemed	06/01/23	J		
34. Arizona St Lottery Rev	A	Interest			Redeemed	07/03/23	J		

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35. Hamilton Cnty OH Swr Sys	A	Interest			Redeemed	12/01/23	J		
36. New York NY City Mun Wtr	A	Interest			Redeemed	06/15/23	J		
37. San Ramon Vly CA Uni Sch	A	Interest			Redeemed	08/01/23	J		
38. Dilley TX Indpt Sch Dist	A	Interest			Redeemed	08/15/23	J		
39. District Energy Corp NE	A	Interest			Redeemed	07/03/23	J		
40. Birmingham AL GO Rfdg 09088RQ74	A	Interest	J	T					
41. Berkeley CA Uni Sch Dist	A	Interest			Redeemed	08/01/23	J		
42. Orono ME Rfdg G/O Ltd	A	Interest			Redeemed	11/01/23	J		
43. Rutgers St Univ NJ Rfdg	A	Interest			Redeemed	05/01/23	J		
44. Riverton City, UT Franchise & Sales	A	Interest			Buy	01/03/23	J		
45.	A	Interest			Redeemed	06/01/23	J		
46. Mount Carmel PA Area Sch Dist	A	Interest			Buy	01/04/23	J		
47.	A	Interest			Redeemed	10/16/23	J		
48. Grand Parkway Transn Corp TX	A	Interest			Buy	01/05/23	J		
49.					Buy (add'l)	02/24/23	J		
50.	A	Interest			Redeemed	10/02/23	J		
51. Hawaii St GO Bds EH G/O Unltd	A	Interest			Buy	01/05/23	J		

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52.	A	Interest			Redeemed	08/01/23	J		
53. Melbourne FLA W&S Rev	A	Interest			Buy	01/23/23	J		
54.	A	Interest			Redeemed	10/02/23	J		
55. Erie PA Swr Auth Swr Rev 295533NV1	A	Interest	J	T	Buy	01/24/23	J		
56. Idaho Bd Bk Auth Rev Bds	A	Interest			Buy	01/30/23	J		
57.	A	Interest			Redeemed	09/15/23	J		
58. Austin TX Wtr & Wastewater Sys 052477VM5	A	Interest	J	T	Buy	02/03/23	J		
59. Hawaii St Bds Ser EH	A	Interest			Buy	02/07/23	J		
60.	A	Interest			Redeemed	08/01/23	J		
61. Virginia St Res Auth Infra	A	Interest			Buy	02/07/23	J		
62.	A	Interest			Redeemed	11/01/23	J		
63. NY City Transitional Fin Auth 64971X2V9	A	Interest			Redeemed	08/01/23	J		
64. Pima Cnty AZ Swr Rev Sys	A	Interest			Buy	02/09/23	J		
65.	A	Interest			Redeemed	07/03/23	J		
66. Huntington Bch CA Un High School	A	Interest			Buy	02/10/23	J		
67.	A	Interest			Redeemed	08/01/23	J		
68. Torrance CA Uni Sch Dist Election	A	Interest			Buy	02/10/23	J		

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69.	A	Interest			Redeemed	08/01/23	J		
70. South Carolina St Pub Svc	A	Interest			Buy	02/13/23	J		
71.	A	Interest			Redeemed	12/01/23	J		
72. Virginia St Res Auth Infra	A	Interest			Buy	02/14/23	J		
73.	A	Interest			Redeemed	11/01/23	J		
74. California St Go Bds March 2014	A	Interest			Buy	02/17/23	J		
75.	A	Interest			Redeemed	12/01/23	J		
76. Metropolitan Transn Auth NY	A	Interest			Buy	02/17/23	J		
77.	A	Interest			Redeemed	11/15/23	J		
78. Sales Tax Asset Receivable Crp NY	A	Interest			Buy	02/17/23	J		
79.	A	Interest			Redeemed	10/16/23	J		
80. Mesa AZ Util Sys Rev Preref Rfdg 59045ZV4	A	Interest	J	T	Buy	02/21/23	J		
81. Metro Govt Nashville & Davidson Cnty TN	A	Interest			Buy	02/21/23	J		
82.	A	Interest			Redeemed	08/01/23	J		
83. Chabot Las Positas CA Cmnty Cllg	A	Interest			Buy	02/22/23	J		
84.	A	Interest			Redeemed	08/01/23	J		
85. Solano CA Cmnty Cllg	A	Interest			Buy	02/22/23	J		

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86.	A	Interest			Redeemed	08/02/23	J		
87. North IA Area Cmnty Cllg IA	A	Interest			Buy	02/23/23	J		
88.	A	Interest			Redeemed	09/01/23	J		
89. Grand Parkway Transn Corp TX	A	Interest			Buy	02/24/23	J		
90.	A	Interest			Redeemed	10/02/23	J		
91. Norwalk CT G/O B/E CPN	A	Interest			Buy	02/24/23	J		
92.	A	Interest			Redeemed	08/02/23	J		
93. Mesa AZ Util Sys Rev Rfdg 590545N96	A	Interest	J	T	Buy	04/04/23	J		
94. Mesa AZ Util Sys Rev Rfdg 590545N88	A	Interest	J	T	Buy	04/04/23	J		
95. Mesa AZ Util Sys Rev Preref 590545ZY8	A	Interest	J	T	Buy	04/04/23	J		
96. Brownsville TX Util Sys	A	Interest			Buy	04/21/23	J		
97.	A	Interest			Redeemed	09/01/23	J		
98. New Jersey Econ Dev Auth Rev 64577XAB2	A	Interest	J	T	Buy	05/03/23	J		
99. Spartanburg Cnty SC Sch Dist 846880EY4	A	Interest	J	T	Buy	05/03/23	J		
100. Great Rivers Greenway Met Pk & Rec 39121FBN7	A	Interest	J	T	Buy	05/09/23	J		
101. North Carolina St Univ NC Raleigh Rev	A	Interest			Buy	05/10/23	J		
102.	A	Interest			Redeemed	10/02/23	J		

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103. Pennsylvania St Tpk	A	Interest			Buy	05/11/23	J		
104.	A	Interest			Redeemed	12/01/23	J		
105. JEA FL Electric Systems	A	Interest			Buy	06/14/23	J		
106.	A	Interest			Redeemed	10/02/23	J		
107. Miami Dade County FL Water	A	Interest			Buy	06/14/23	J		
108.	A	Interest			Redeemed	10/02/23	J		
109. Canon McMillan Sch Dist PA	A	Interest			Buy	06/15/23	J		
110.					Redeemed	12/15/23	J		
111. Granbury TX Indpt Sch Dist 38506TF7	A	Interest	J	T	Buy	06/15/23	J		
112. Mesa AZ Util Sys Rev 590545ZX0	A	Interest	J	T	Buy	06/15/23	J		
113. Texas St GO Mobility FD 882723NH8	A	Interest	J	T	Buy	06/15/23	J		
114. Wright CA Elem Sch Dist 982233DD7	A	Interest	J	T	Buy	06/15/23	J		
115. Vermont Mun Bd Bk	A	Interest			Buy	06/21/23	J		
116.	A	Interest			Redeemed	12/01/23	J		
117. Virginia State GO Bnds 9281095A1	A	Interest	J	T	Buy	06/26/23	J		
118. Cheltenham Twp PA Sch Dist 163501L49	A	Interest	J	T	Buy	07/10/23	J		
119. Commerce City CO Sales & Use Tax 200588MH1	A	Interest	J	T	Buy	07/10/23	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; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Gottschall, Joan B.	05/02/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
120. Nassau Cnty NY Gen Impt 63165TPJ8	A	Interest	J	T	Buy	07/10/23	J		
121. Vacaville CA Uni Sch Dist 918608QF0	A	Interest	J	T	Buy	07/10/23	J		
122. Philadelphia PA Wtr & Wastewtr 717893ZB0	A	Interest	J	T	Buy	07/11/23	J		
123. Casa Grande AZ Rfdg Bds 147069EX2	A	Interest	J	T	Buy	07/20/23	J		
124. Birmingham AL Prerefunded 09088RQ90	A	Interest	J	T	Buy	08/01/23	J		
125. Washington Subn San Dist 940157YF1	A	Interest	J	T	Buy	08/01/23	J		
126. Pflugerville TX Indpt Sch Dist 7170954Z3	A	Interest	J	T	Buy	08/02/23	J		
127. University of Colorado 91417NDE2	A	Interest	J	T	Buy	08/02/23	J		
128.	A	Interest	J	T	Buy (add'l)	08/09/23	J		
129. Pflugerville TX Indpt Sch Dist 7170955C3	A	Interest	J	T	Buy	08/09/23	J		
130. Wilmar UN Sch Dist CA Election 971429BB0	A	Interest	J	T	Buy	08/11/23	J		
131. Virginia St Res Auth Rev 92818NS90	A	Interest	J	T	Buy	09/07/23	J		
132. US Treasury Notes 91282CHV6	A	Interest	M	T	Buy	09/19/23	M		
133. US Treasury Bill 972797GL5	A	Interest	M	T	Buy	09/19/23	M		

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
Gottschall, Joan B.	05/02/2024

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

1. Section VII, Line 28 -- "Sweep Account" for both brokerage and IRA accounts. Money is held pending investment and is constantly being transferred into and out of the account.

2. Section VII, Line 29 -- "State Bank of the Lakes" is a personal checking account used for payroll deposits and payment of monthly bills, the dollar amount changes.

3. Section VII, Line 30 -- "Corpus Christie, TX" -- this redemption was inadvertently not reported on the 2022 Financial Disclosure Report.

Name of Person Reporting	Date of Report
Gottschall, Joan B.	05/02/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Joan B. Gottschall

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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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