

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Dow, Jr., Robert M.	2. Court or Organization U.S. District Court, Northern District of Illinois	3. Date of Report 05/10/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge -- Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address E.M. Dirksen U.S. Courthouse 219 South Dearborn Street, Suite 1978 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 pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Director	Arthur J. Schmitt Foundation
2.		
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.		
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2012	Bailey & Glasser LLP -- income as partner at law firm
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Practicing Law Institute	6/10/12 to 6/11/12	New York, NY	CLE program on international arbitration; served as moot court judge	Transportation, meals, lodging
2. Northern Illinois University Law School	3/2/2012 to 3/3/2012	DeKalb, IL	Served as moot court judge for final round	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.	Chase Bank	credit card	K
2.	Target	credit card	J
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. Northern Trust Bank accounts	A	Interest	J	T					
2. Northern Trust Bank IRA (CD)	A	Interest	J	T					
3. Prudential Individual Retirement Annuity									
4. -- AST Academic Strategies Asset Allocation		None	M	T	Buy (add'l)	01/13/12	J		
5.					Buy (add'l)	01/31/12	K		
6.					Sold (part)	03/19/12	K		
7.					Buy (add'l)	04/16/12	K		
8.					Sold (part)	05/22/12	K		
9.					Buy (add'l)	06/15/12	K		
10.					Sold (part)	10/25/12	K		
11.					Buy (add'l)	11/28/12	K		
12.					Sold (part)	12/26/12	J		
13. -- AST First Trust Cap Appr Target Portfolio		None	N	T	Buy (add'l)	01/13/12	K		
14.					Buy (add'l)	01/31/12	L		
15.					Sold (part)	03/19/12	L		
16.					Buy (add'l)	04/16/12	K		
17.					Sold (part)	05/22/12	L		

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	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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☐ 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 I (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.					Buy (add'l)	06/15/12	L		
19.					Sold (part)	10/25/12	L		
20.					Buy (add'l)	11/28/12	L		
21.					Sold (part)	12/26/12	J		
22. -- AST Bond Portfolio 2021		None			Sold (part)	01/13/12	L		
23.					Sold (part)	01/31/12	L		
24.					Sold	03/19/12	N		
25. -- AST Bond Portfolio 2022 (X)		None	N	T	Buy	03/19/12	N		
26.					Sold (part)	04/16/12	L		
27.					Buy (add'l)	05/22/12	L		
28.					Sold (part)	06/15/12	L		
29.					Buy (add'l)	10/25/12	L		
30.					Sold (part)	11/28/12	L		
31.					Sold (part)	12/26/12	J		
32. Harris Bank accounts	A	Interest	J	T					
33. GCG Mutual Fund									
34. -- American Funds Euro Pacific Growth	A	Dividend	J	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	
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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)

35. -- American Funds Fundamental Investors	A	Dividend	J	T					
36. -- American Funds Small Cap World Fund	A	Dividend	J	T					
37. -- American Funds Bond Fund of America	A	Dividend	J	T					
38. -- American Funds Growth Fund of America	A	Dividend	J	T					
39. GCG 529 Fund #1									
40. -- EuroPacific Growth Fund 529A	A	Dividend	J	T					
41. -- American Funds New Economy Fund	A	Dividend	K	T					
42. GCG 529 Fund #2									
43. -- American Funds Capital World G/I 529A	A	Dividend	J	T					
44. -- American Funds Growth Fund of America 529A	A	Dividend	K	T					
45. GCG 529 Fund #3									
46. -- New Perspective Fund 529A	A	Dividend	J	T					
47. -- American Funds Fundamental Investors 529A	A	Dividend	K	T					
48. GCG Fund #4									
49. -- American Funds SmallCap World Fund 529A	A	Dividend	J	T					
50. -- American Funds Capital Income Builder 529A	A	Dividend	J	T					
51. Podesta (Millenium Trust) HSA Account									

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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52. -- 1 Shares Dow Jones Select Dividend Index Fund	A	Dividend			Sold	08/03/12	J	A	
53. -- 1 Shares TR S&P 500 Index Fund	A	Dividend			Sold	08/03/12	J	A	
54. -- Cash Account (X)	A	Interest	J	T	Buy	08/03/12	J		
55. First Community Bank Common Stock (Y)									
56. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
57. MSJL, Inc. Common Stock		None	K	T					
58. Minnesota Life: Variable Adjustable Life Insurance	A	Interest	K	T					
59. Travelers: Variable Life Policy	A	Interest			Expired	04/16/12	J	A	
60. Northwestern Mutual Life Policy	A	Dividend			Redeemed	04/09/12	K	D	
61. MetLife: Universal Life Policy	A	Interest			Expired	12/28/12	J	A	
62. Buffalo Jayhawk China Fund	A	Dividend	J	T	Buy (add'l)	12/20/12	J		
63. Buffalo International Fund #1449	A	Dividend	K	T	Buy (add'l)	12/20/12	J		
64. Buffalo Balanced (Flexible Income) Fund	A	Dividend	K	T	Buy (add'l)	02/21/12	J		
65.					Buy (add'l)	03/20/12	J		
66.					Buy (add'l)	04/18/12	J		
67.					Buy (add'l)	05/18/12	J		
68.					Buy (add'l)	06/19/12	J		

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69.					Buy (add'l)	07/18/12	J		
70.					Buy (add'l)	08/20/12	J		
71.					Buy (add'l)	09/18/12	J		
72.					Buy (add'l)	10/18/12	J		
73.					Buy (add'l)	11/20/12	J		
74.					Buy (add'l)	12/18/12	J		
75. Buffalo Small Cap Fund	A	Dividend	K	T	Buy (add'l)	12/20/12	J		
76. Buffalo Science & Tech (Discovery) Fund	B	Dividend	K	T	Buy (add'l)	12/20/12	J		
77. Buffalo Large Cap Fund	B	Dividend	K	T	Buy (add'l)	12/20/12	J		
78. Buffalo USA Growth Fund	A	Dividend	K	T	Buy (add'l)	12/20/12	J		
79. Northern Inst Tax-Exempt		None	J	T					
80. Bailey & Glasser 401k Profit Sharing Plan			K	T					
81. -- Vanguard Wellington Admiral	A	Int./Div.	J	T					
82. -- T Rowe Price Blue Chip Growth (X)	A	Int./Div.	J	T					
83. -- Morgan Stanley Instl MidCap Gr (X)	A	Int./Div.	J	T					
84. -- Goldman Sachs Growth Opp Cl I (X)	A	Int./Div.	J	T					
85. -- Oakmark Global (X)	A	Int./Div.	J	T					

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86. Sequella, Inc. (X)		None	M	T	Buy	11/09/12	M		William K. Hoskins
87. IRX Therapeutics, Inc. (X)		None	L	T	Buy	11/09/12	L		William K. Hoskins

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

Part IV:

1. For line 2, I do not know the value of a night's stay at the on-campus hotel and meals that were provided in connection with moot court competition. It may well be less than \$350 but I thought it prudent to be over-inclusive than under-inclusive.

Part VII:

1. Lines 3, 33, 39, 42, 45, 48, 51, and 80 are headers for various funds -- the individual holdings of each fund, values, and transactions are reported in the lines below each header.

2. For lines 51-54, the securities in my HSA account which was left over from my time at Mayer Brown have been sold and the cash proceeds are being held in the account and spent down to pay for medical expenses. I anticipate that all of the funds will be spent and the account closed by the end of 2013. The HSA account was transferred from Podesta to Millenium Trust during 2012.

3. For line 55, I donated the stock to a school in 2011.

4. For lines 86 and 87, in December 2012 [REDACTED] assigned his interests in the two listed companies in equal shares [REDACTED], [REDACTED]

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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/ Robert M. Dow, Jr.

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