

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) Gettleman, Robert W.	2. Court or Organization U.S. District Court, N.D. Illinois	3. Date of Report 08/14/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. 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 219 South Dearborn Street Chambers 1788 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.)

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. 2017	CCTO Production Partnership (passive limited partnership interest in oil and gas production; .008290% interest).
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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. 2017	Northwestern University School of Law; taught courses	\$5,000.00
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. 2017	LCSW, Private Social Work Practice
2. 2017	Teachers' Retirement Pension
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.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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. Citibank (Chicago)	A	Interest	J	T					
2. Morgan Stanley Liq. Asset Fund	A	Interest	J	T					
3. MS Natural Resources	A	Interest	K	T					
4. Morgan Stanley Active Assets Money Trust	C	Interest	J	T					
5. Ill. St. Civic CTR REF-SPL (Bond)	A	Interest	K	T					
6. Illinois St. Gen. Oblig. (Bond)	A	Interest	K	T					
7. Ill. Health Facs. Auth. (Bond)	A	Interest	J	T					
8. CCTO Production Partnership	A	Distribution	L	T					
9. Sacred Silks	A	Interest	J	T					
10. Eldorado Gold CP	A	Dividend	J	T					
11. Bristol Myers Squibb Co.	A	Dividend	K	T					
12. ING Plus	A	Interest	J	T					
13. GE Money BK n/k/a Synchrony BK	A	Interest	J	T					
14. MS Bank CD	A	Interest	K	T					
15. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
16. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
17. BB&T Corporation	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 = \$250,001 - \$500,000,000	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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 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. Amer. FDS Cap. Bldrs.	C	Dividend	K	T					
19. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
20. U.S. Treas. Bonds	A	Interest	L	T					
21. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
22. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
23. Morgan Stanley European Growth	A	Dividend	K	T					
24. Morgan Standly Pacific Growth B	A	Dividend	J	T					
25. Bristol Myers Squibb Co.	A	Dividend	K	T					
26. Novartis AG ADR	A	Dividend	K	T					
27. Raytheon Co (New)	A	Dividend	K	T					
28. GMAC Bank CD	A	Dividend	J	T					
29. Eli Lilly & Co.	A	Dividend	K	T					
30. Intel Corp.	A	Dividend	K	T					
31. Sanofi Aventis Ads	A	Dividend			Sold	12/20/17	J	A	
32. American Mutual A	A	Interest	J	T					
33. Columbia Global Value B	A	Dividend	J	T					
34. Echelon	A	Dividend			Sold	08/04/17	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)
35. Goldman Sachs GRP Inc.	A	Dividend	K	T					
36. Market Vectors Gold Mines	A	Dividend	J	T					
37. Morgan ST III Cum	A	Dividend	J	T					
38. Chicago Go-EsD BE	A	Dividend	K	T					
39. Duke Energy Corp	A	Dividend	K	T					
40. Genuine Parts Co.	A	Dividend	J	T					
41. IBM	A	Dividend	K	T					
42. Proctor & Gamble	A	Dividend	K	T					
43. Waste Management	A	Dividend	J	T					
44. Aqua Amer Inc	A	Dividend	J	T	Sold (part)	09/22/17	J	A	
45. Kansas City Life Ins.	A	Dividend			Sold	11/27/17	J	A	
46. Verizon Comm	A	Dividend	K	T	Buy (add'l)	07/05/17	J		
47. Calif St. Genl Oblig	A	Dividend	J	T					
48. Thornburg Inv. Inc.	A	Dividend	J	T					
49. Giga Tronics (GUGA)	A	Dividend			Sold	08/04/17	J	A	
50. Albuquerque Bernalillo Cnty Wtr Util Au N M JT WTR Rev-A-1	A	Interest			Matured	01/05/17	J	A	
51. Will Cnty Ill Cmnty Cons Sch Dist. No. 30- C Ser B	A	Interest	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)

52. Baltimore Cnty MD Genl Oblig Ref Met Dist	A	Interest			Matured	07/05/17	J	A	
53. San Diego Cnty Calif Wtr Auth Fing Agy Wtr Rev-A	A	Interest	J	T					
54. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
55. 3M Company (MMM)	A	Dividend	K	T					
56. AGL Resources IN (GAS)	A	Distribution			Sold	07/05/17	J	A	
57. Amer Nat Ins Co (ANAT)	A	Dividend			Sold	03/15/17	J	A	
58. Cisco Syst Inc (CSCO)	A	Dividend	K	T					
59. Clorox CO DE (CLX)	A	Dividend	K	T					
60. Colgate Palmolive Co (CL)	A	Dividend	K	T					
61. Compass Div TR SHS Beneficial (CODI)	A	Dividend			Sold	01/17/17	J	A	
62. Covidien PLC New (COV)	A	Distribution			Sold	05/17/17	J	A	
63. Health Cre Reit Inc (HCN)	A	Dividend			Sold	01/19/17	J	A	
64. Johnson & Johnson	A	Dividend	K	T					
65. Microsoft Corp (MSFT)	A	Dividend	K	T					
66. Monsanto CO/New (MON)	A	Dividend	K	T					
67. United Fire & Casualty (UFCS)	A	Dividend			Sold	11/09/17	J	A	
68. Weatherford International LTD (WTF)	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)
69. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
70. Pennsylvania St. Build America Bond	A	Interest	J	T					
71. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
72. New York City Go Build America C-1	A	Interest	J	T					
73. Alcoa Inc (AA)	A	Interest	J	T					
74. Aqua Ameri Inc (WTR)	A	Dividend			Sold	12/07/17	J	A	
75. Coming Inc (GLW)	A	Dividend	K	T					
76. Encana Corp (ECA)	A	Dividend			Sold	07/13/17	J	A	
77. Facebook Inc CL-A (FB)	A	Dividend	M	T					
78. General Mtrs Co (GM)	A	Dividend	K	T					
79. Isis Pharm Inc (ISIS)	A	Dividend			Sold	08/04/17	J	A	
80. KB Home (KBH)	A	Dividend	K	T					
81. Merck & Co Inc New Com (MRK)	A	Dividend			Sold	12/04/17	J	A	
82. Mercury Genl CP New (MCY)	A	Dividend			Sold	12/04/17	J	A	
83. Paramount Gold & Silver Corp (PZG)	A	Dividend			Sold	01/12/17	J	A	
84. Statoil Asa ADR (STO)	A	Dividend			Sold	08/04/17	J	A	
85. Vanguard European MSCI ETF (VGK)	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)

86. Newmont Mining Corp (New) (NEM)	A	Dividend	J	T	Sold (part)	02/07/17	J	A	
87. ABB LTD (ABB)	A	Dividend			Sold	08/04/17	J	A	
88. Aircastle Limited (AYR)	A	Distribution			Sold	12/04/17	J	A	
89. Hess Corporation	A	Dividend	J	T					
90. KKR & Co LLP (KKR)	A	Dividend	J	T					
91. Manunkind Corp (MNKD)	A	Dividend	J	T					
92. Newmont Mining Corp (New)(NEM)	A	Dividend			Sold	11/14/17	J	A	
93. Nippon Telegraph & Telephone ADS	A	Dividend			Sold	12/20/17	J	A	
94. United STS STL CP (New) (X)	A	Dividend	J	T					
95. MS US Inflation Linked Notes	A	Dividend	J	T					
96. Royal Bank of Scotland	A	Dividend	J	T					
97. LLoyds TSB Bank PLC	A	Dividend	J	T					
98. Calamos Asset Mgmt Inc CL-A (CLMS)	A	Dividend			Sold	07/05/17	J	A	
99. WP Carey Inc Com (WPC)	A	Dividend	J	T					
100. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
101. Kyocera CO ADR (KYO)	A	Dividend			Sold	12/14/17	J	A	
102. Medical Properties Trust Inc (MPW)	A	Dividend	K	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 10 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)
103. Palo Alto Networks, Inc. (PANW)	A	Dividend			Sold	03/21/17	J	A	
104. PPL Corporation (PPL)	A	Dividend	J	T					
105. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
106. Twitter Inc (TWTR)	A	Dividend	J	T					
107. Alibaba Group (BABA)	A	Dividend	K	T					
108. Apple Inc (AAPL)	A	Dividend	J	T					
109. Chevron	A	Dividend	K	T					
110. Northwest Bancshares	A	Dividend	K	T					
111. TMCC STE UP	A	Dividend	J	T					
112. Nike, Inc.	A	Dividend	J	T					
113. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					
114. Blackstone (BX)	A	Dividend	J	T					
115. Eaton Corp.	A	Dividend	J	T					
116. China Life	A	Dividend	J	T					
117. Springfield ILL Wtr Rev	A	Dividend	J	T					
118. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Dividend	J	T					
119. Fresno Calif Swr Rev Ser A	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)
120. San Mateo Calif Un High Sch Dist	A	Dividend	J	T					
121. Orange Cnty Calif Santr Wastewater Rev Ref A	A	Dividend	J	T					
122. Whole Foods	A	Dividend			Sold	12/04/17	J	A	
123. Amgen Inc	A	Dividend	K	T					
124. Arconic Inc (ARNC)	A	Dividend			Sold	06/08/17	J	A	
125. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	K	T					
126. United Technologies Corp	A	Dividend	J	T					
127. Walt Disney Co Hldg Co (DIS)	A	Dividend	J	T					
128. Welltower Inc (HCN)	A	Dividend	J	T					
129. Gabelli Utility Trust	A	Dividend	J	T					
130. Public Strg Dep Shs PF	A	Dividend			Sold	08/16/17	J	A	
131. Pepsico Inc.	A	Dividend	J	T					
132. Nike, Inc.	A	Dividend	J	T					
133. Anheuser-Busch Inbev Fin	A	Dividend	J	T					
134. Legg Mason Inc	A	Dividend			Sold	09/19/17	J	A	
135. Entergy Mississippi Inc	A	Dividend			Sold	04/13/17	J	A	
136. Dominion Resources Inc	A	Dividend			Sold	05/23/17	J	A	

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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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)
137. El Du Pont De Nemoors	A	Dividend	J	T	Buy	08/04/17	J		
138. Royal Dutch Shell PLC CL B (RDS;B)	A	Dividend	J	T	Buy	12/04/17	J		
139. Wells Fargo 7.5 Non-Cum CIA (WFC.L)	A	Dividend	J	T	Buy	12/04/17	J		
140. iShares MSCI Euro Financial	A	Dividend	J	T	Buy	12/12/17	J		
141. SPDR Global Dow ETF (DGT)	A	Dividend	J	T	Buy	03/06/17	J		
142. The India Fund Inc (FN)	A	Dividend	K	T	Buy	03/06/17	J		
143. Tortois Energy INFRA (TYG)	A	Dividend	K	T	Buy	08/04/17	J		
144. Vanguard FTSE Europe EFT (VGK)	A	Dividend	L	T	Buy	01/19/17	J		
145. Amazon	A	Interest	J	T	Buy	01/12/17	J		
146. MS Dual Directional Trigger Plus on GDX SPUVL	A	Dividend	K	T	Buy	10/31/17	J		
147. MS Dual Directional Trigger Plus on SX5E (SPPVFK)	A	Dividend	K	T	Buy	01/31/17	J		
148. HSBC Continent 8.3% autocall	A	Interest	K	T	Buy	08/04/17	J		
149.									
150.									
151.									
152.									
153.									

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	

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)
154.									
155.									

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/14/2018

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 W. Gettleman**

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