

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Baer, Janet S.	2. Court or Organization Bankruptcy Court- Northern District of Illinois	3. Date of Report 05/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 219 S. Dearborn Street, Suite 662, 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. Grantor and Trustee -12/11/2012 to present	Janet S. Baer Revocable Trust
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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.

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. Federal Judicial Center

4/17/26-4/20/16

Albuquerque, NM

Judicial Training

Hotel, Travel, Food

2. National Conference of
Bankruptcy Judges

10/25/16-10/30/16

San Francisco, CA

Annual Meeting

Hotel

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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. Fidelity Municipal Money Market Fund #1	A	Interest			Sold	08/26/16	J		
2. Fidelity Government Money Market Fund #1	A	Interest	J	T	Buy	08/26/16	J		
3. Fidelity Municipal Money Market Fund #2	A	Interest	K	T	Sold (part)	08/26/16	J		
4. Fidelity Government Money Market Fund #2	A	Interest	J	T	Buy	08/26/16	J		
5. Fidelity Global Balanced Fund	A	Int./Div.	L	T					
6. 1 shares (f/k/a Trust 400 Index) S & P Midcap ETF	A	Int./Div.	L	T					
7. 1 shares (f/k/a/Trust 600 Index) S & P Small Cap ETF	A	Int./Div.	L	T					
8. Matthews Asian Growth & Income Fund #1	B	Int./Div.	K	T					
9. Oakmark Equity & Income Fund #1	D	Int./Div.	M	T					
10. Pimco Investment Grade Corp bond Class D Fund	A	Int./Div.	K	T					
11. T Rowe Price International Stock Fund #1	B	Int./Div.	L	T					
12. T Rowe Price Capital Appreciation Fund #1	D	Int./Div.	M	T					
13. T Rowe Price International Bond Fund #1	A	Int./Div.	K	T					
14. Templeton Global Bond Fund Class C	A	Int./Div.	K	T					
15. Vanguard Wellington Investor Fund	D	Int./Div.	M	T					
16. T Rowe Price Short Term Bond Fund #1	A	Int./Div.	K	T					
17. Fidelity Municipal Money Market Fund #4	A	Interest			Sold	08/26/16	J		

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 5 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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. Fidelity Government Money Market Fund #3	A	Interest	J	T	Buy	08/26/16	J		
19. Fidelity IRA									
20. -Fidelity Govn. Cash Reserves	A	Interest	J	T					
21. -Powershares DB Commodity Index Tracking FD Unilt Ben Int	A	Int./Div.	K	T					
22. -Driehaus Emerging Markets Fund	A	Int./Div.	K	T	Sold (part)	08/17/16	K		
23. -Fidelity Real Estate Investment Fund	A	Int./Div.	K	T	Sold (part)	08/17/16	K		
24. -Ishares Core (f/k/a/Trust 400 Index) S & P Midcap ETF	A	Int./Div.	J	T	Sold (part)	08/17/16	J		
25. -Ishares Core (f/k/a/Trust 600 Index) S & P Small Cap ETF	A	Int./Div.	J	T	Sold (part)	08/17/16	J		
26. -Matthews Asian Growth & Income Fund #2	B	Int./Div.	J	T	Sold (part)	08/17/16	J		
27. -Oakmark International Small Cap Investment Fund	A	Int./Div.	J	T	Sold (part)	08/17/16	J		
28. -Pimco Foreign Bond Fund Unhedged Class D	A	Int./Div.	K	T					
29. -Pimco Real Return Fund Class D	A	Int./Div.	K	T					
30. -Pimco Total Return Fund Class D	A	Int./Div.	K	T					
31. -Victory (f/k/a/RS) Global Natural Resources Fund Class A	A	Int./Div.	J	T	Sold (part)	08/17/16	K		
32. -TCW Total Return Bond Fund Class N	B	Int./Div.	L	T					
33. -Fidelity Global Balanced Fund	A	Int./Div.	J	T	Sold (part)	08/17/16	K		
34. Vanguard International Value Fund Inherited IRA	A	Int./Div.			Sold	08/25/16	K		

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 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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. Wellington Investor Fund Inherited IRA	A	Int./Div.	K	T	Buy	08/25/16	K		
36. Wellington Investor Fund Inherited IRA	A	Int./Div.	K	T	Sold (part)	12/20/16	J		
37. Vanguard Wellington Investor Fund (UTMA)	A	Int./Div.			Distributed	08/16/16	K		Distributed to owner son
38. Fidelity Municipal Money Market Fund (UTMA)	A	Interest			Distributed	08/16/16	J		Distributed to owner son
39. I Shares Core U.S. Aggregate (f/k/a/Total) US Bond ETF	A	Int./Div.	M	T	Sold (part)	06/08/16	M		
40. I Shares National Muni Bond ETF	A	Int./Div.	M	T	Buy	06/08/16	M		
41. Oakmark International C I Fund	A	Int./Div.	K	T					
42. Fidelity (f/k/a/ Spartan) 500 Index Premium Class	C	Int./Div.	M	T					
43. Vanguard Rollover IRA									
44. -Vanguard Developed Markets Index Fund Admiral	B	Int./Div.	L	T					
45. -Vanguard Emerging Markets Stock Index Fund Adm	B	Int./Div.	L	T					
46. -Vanguard Growth Index Fund Adm.	A	Int./Div.	L	T					
47. -Vanguard Inflation Protect Sec Adm Fund	B	Int./Div.	M	T					
48. -Vanguard Long Term Investment Growth Fund Adm	C	Int./Div.	L	T					
49. -Vanguard Mid Cap Value Index Fund Adm	A	Int./Div.	L	T					
50. -Vanguard Precious Metals & Mining Fund	A	Int./Div.	K	T					
51. -Vanguard Prime Money Market Fund	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 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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. -Vanguard REIT Index Fund Adm	B	Int./Div.	L	T					
53. -Vanguard Wellington Fund Admiral	D	Int./Div.	M	T					
54. -Vanguard Equity Income Fund Adm.		Int./Div.	L	T					
55. -Vanguard Global Ex US Real Estate Index FD ETF	C	Int./Div.	K	T					
56. -Vanguard FTSE Developed MRKTS ETF	B	Int./Div.	L	T					
57. -Vanguard S & P 500 Index ETF	B	Int./Div.	L	T					
58. -Vanguard Short Term Bond ETF	B	Int./Div.	M	T					
59. -Vanguard Small Cap ETF	B	Int./Div.	L	T					
60. -Vanguard Total Bond Market ETF	D	Int./Div.	N	T					
61. Allianz Inherited Fixed Rate Annuity	B	Int./Div.	J	T	Distributed (part)	05/02/16	J		
62. Roth IRA									
63. -Core Wells Fargo Cash Account	A	Interest	J	T	Buy	08/17/16	J		
64. -Fidelity Real Estate Investment Fund	A	Int./Div.	K	T	Buy	08/17/16	K		
65. -Fidelity Global Balanced Fund	A	Int./Div.	K	T	Buy	08/17/16	K		
66. -Driehaus Emerging Markets Fund	A	Int./Div.	K	T	Buy	08/17/16	K		
67. -Oakmark International Small Cap Invest. Fund	A	Int./Div.	J	T	Buy	08/17/16	J		
68. -Matthews Asian Growth & Income Fund	A	Int./Div.	J	T	Buy	08/17/16	J		

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 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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. -Victory Global Natual Resources Fund Class A	A	Int./Div.	K	T	Buy	08/17/16	K		
70. -I Shares Core S & P Mid Cap ETF	A	Int./Div.	J	T	Buy	08/17/16	J		
71. -I Shares Core S & P Small Cap ETF	A	Int./Div.	J	T	Buy	08/17/16	J		

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 9 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Baer, Janet S.

Date of Report

05/11/2017

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/ **Janet S. Baer**

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