

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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 09/16/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address E.M. Dirksen U.S. Courthouse 219 South Dearborn Street, Room 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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. 2013	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. Lauren Barr	8/30/13 to 8/31/13	Stuart, FL	Officiate at wedding for former extern	Meals, lodging
2. Sarah Rauh	9/20/13 to 9/22/13	Sausalito, CA	Officiate at wedding for former law clerk	Transportation, meals, lodging
3. Kate Roin	10/4/13 to 10/6/13	Aspen, CO	Officiate at wedding for former law clerk	Meals, lodging
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	K	T	Sold (part)	05/31/13	K		
5.					Sold (part)	06/19/13	K		
6.					Sold (part)	06/20/13	K		
7.					Sold (part)	06/21/13	J		
8.					Sold (part)	06/24/13	J		
9.					Buy (add'l)	06/27/13	J		
10.					Sold (part)	07/05/13	K		
11.					Buy (add'l)	07/08/13	J		
12.					Buy (add'l)	07/09/13	J		
13.					Buy (add'l)	07/11/13	J		
14.					Buy (add'l)	07/17/13	J		
15.					Sold (part)	07/30/13	J		
16.					Sold (part)	08/01/13	J		
17.					Buy (add'l)	08/02/13	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	

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18.					Sold (part)	08/13/13	J		
19.					Sold (part)	08/15/13	J		
20.					Sold (part)	08/16/13	J		
21.					Sold (part)	08/19/13	J		
22.					Buy (add'l)	08/20/13	J		
23.					Sold (part)	08/21/13	J		
24.					Sold (part)	08/22/13	J		
25.					Buy (add'l)	08/23/13	J		
26.					Buy (add'l)	08/27/13	J		
27.					Sold (part)	08/28/13	J		
28.					Buy (add'l)	08/29/13	J		
29.					Sold (part)	09/03/13	J		
30.					Sold (part)	09/04/13	J		
31.					Sold (part)	09/05/13	J		
32.					Buy (add'l)	09/06/13	J		
33.					Buy (add'l)	09/09/13	J		
34.					Sold (part)	09/10/13	J		

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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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35.					Buy (add'l)	09/11/13	J		
36.					Buy (add'l)	09/13/13	J		
37.					Buy (add'l)	09/16/13	J		
38.					Buy (add'l)	09/17/13	J		
39.					Buy (add'l)	09/18/13	K		
40.					Buy (add'l)	09/25/13	J		
41.					Sold (part)	10/15/13	J		
42.					Buy (add'l)	10/16/13	J		
43.					Buy (add'l)	10/17/13	J		
44.					Buy (add'l)	10/23/13	J		
45.					Sold (part)	11/01/13	J		
46.					Sold (part)	11/08/13	J		
47.					Buy (add'l)	11/14/13	J		
48.					Sold (part)	12/02/13	J		
49.					Sold (part)	12/19/13	J		
50.					Buy (add'l)	12/20/13	J		
51.					Sold (part)	12/24/13	J		

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52.					Sold (part)	12/25/13	J		
53. -- AST Bond Portfolio 2022		None			Sold	05/31/13	N		
54. -- AST Bond Portfolio 2023 (X)		None	O	T	Open	05/31/13	O		
55.					Buy (add'l)	06/19/13	L		
56.					Buy (add'l)	06/20/13	L		
57.					Buy (add'l)	06/21/13	K		
58.					Buy (add'l)	06/24/13	K		
59.					Sold (part)	06/27/13	L		
60.					Buy (add'l)	07/05/13	M		
61.					Sold (part)	07/08/13	K		
62.					Sold (part)	07/09/13	K		
63.					Sold (part)	07/11/13	K		
64.					Sold (part)	07/17/13	K		
65.					Buy (add'l)	07/30/13	K		
66.					Buy (add'l)	08/01/13	K		
67.					Sold (part)	08/02/13	L		
68.					Buy (add'l)	08/13/13	L		

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69.					Buy (add'l)	08/15/13	K		
70.					Buy (add'l)	08/16/13	K		
71.					Buy (add'l)	08/19/13	K		
72.					Sold (part)	08/20/13	K		
73.					Buy (add'l)	08/21/13	K		
74.					Buy (add'l)	08/22/13	K		
75.					Sold (part)	08/23/13	K		
76.					Sold (part)	08/27/13	K		
77.					Buy (add'l)	08/28/13	K		
78.					Sold (part)	08/29/13	K		
79.					Buy (add'l)	09/03/13	K		
80.					Buy (add'l)	09/04/13	K		
81.					Buy (add'l)	09/05/13	K		
82.					Sold (part)	09/06/13	J		
83.					Sold (part)	09/09/13	K		
84.					Buy (add'l)	09/10/13	K		
85.					Sold (part)	09/11/13	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
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86.					Sold (part)	09/13/13	J		
87.					Sold (part)	09/16/13	J		
88.					Sold (part)	09/17/13	J		
89.					Sold (part)	09/18/13	L		
90.					Sold (part)	09/25/13	K		
91.					Buy (add'l)	10/15/13	K		
92.					Sold (part)	10/16/13	K		
93.					Sold (part)	10/17/13	K		
94.					Sold (part)	10/23/13	K		
95.					Buy (add'l)	11/01/13	K		
96.					Buy (add'l)	11/08/13	K		
97.					Sold (part)	11/14/13	K		
98.					Buy (add'l)	12/02/13	K		
99.					Buy (add'l)	12/19/13	K		
100.					Sold (part)	12/20/13	K		
101.					Buy (add'l)	12/24/13	K		
102.					Sold (part)	12/25/13	J		

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103. -- AST First Trust Cap/Prudential Growth Allocation Portfolio		None	M	T	Sold (part)	05/31/13	L		
104.					Sold (part)	06/19/13	L		
105.					Sold (part)	06/20/13	L		
106.					Sold (part)	06/21/13	K		
107.					Sold (part)	06/24/13	K		
108.					Buy (add'l)	06/27/13	K		
109.					Sold (part)	07/05/13	L		
110.					Buy (add'l)	07/08/13	K		
111.					Buy (add'l)	07/09/13	J		
112.					Buy (add'l)	07/11/13	K		
113.					Buy (add'l)	07/17/13	K		
114.					Sold (part)	07/30/13	K		
115.					Sold (part)	08/01/13	K		
116.					Buy (add'l)	08/02/13	K		
117.					Sold (part)	08/13/13	K		
118.					Sold (part)	08/15/13	K		
119.					Sold (part)	08/16/13	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
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120.					Sold (part)	08/19/13	K		
121.					Buy (add'l)	08/20/13	K		
122.					Sold (part)	08/21/13	K		
123.					Sold (part)	08/22/13	K		
124.					Buy (add'l)	08/23/13	K		
125.					Buy (add'l)	08/27/13	K		
126.					Sold (part)	08/28/13	K		
127.					Buy (add'l)	08/29/13	J		
128.					Sold (part)	09/03/13	K		
129.					Sold (part)	09/04/13	J		
130.					Sold (part)	09/05/13	K		
131.					Buy (add'l)	09/06/13	J		
132.					Buy (add'l)	09/09/13	K		
133.					Sold (part)	09/10/13	K		
134.					Buy (add'l)	09/11/13	J		
135.					Buy (add'l)	09/13/13	J		
136.					Buy (add'l)	09/16/13	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	

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Dow, Jr., Robert M.

Date of Report

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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)
137.					Buy (add'l)	09/17/13	J		
138.					Buy (add'l)	09/18/13	K		
139.					Buy (add'l)	09/25/13	K		
140.					Sold (part)	10/15/13	K		
141.					Buy (add'l)	10/16/13	K		
142.					Buy (add'l)	10/17/13	K		
143.					Buy (add'l)	10/23/13	K		
144.					Sold (part)	11/01/13	K		
145.					Sold (part)	11/08/13	K		
146.					Buy (add'l)	11/14/13	K		
147.					Sold (part)	12/02/13	K		
148.					Sold (part)	12/19/13	K		
149.					Buy (add'l)	12/20/13	K		
150.					Sold (part)	12/24/13	K		
151.					Sold (part)	12/25/13	J		
152. Harris Bank accounts	A	Interest	J	T					
153. GCG Mutual Fund									

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	

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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)
154. -- American Funds Euro Pacific Growth	A	Dividend	J	T					
155. -- American Funds Fundamental Investors	A	Dividend	J	T					
156. -- American Funds Small Cap World Fund	A	Dividend	J	T					
157. -- American Funds Bond Fund of America	A	Dividend	J	T					
158. -- American Funds Growth Fund of America	A	Dividend	J	T					
159. GCG 529 Fund #1									
160. -- EuroPacific Growth Fund 529A	A	Dividend	K	T					
161. -- American Funds New Economy Fund	A	Dividend	K	T					
162. GCG 529 Fund #2									
163. -- American Funds Capital World G/I 529A	A	Dividend	K	T					
164. -- American Funds Growth Fund of America 529A	A	Dividend	K	T					
165. GCG 529 Fund #3									
166. -- New Perspective Fund 529A	A	Dividend	K	T					
167. -- American Funds Fundamental Investors 529A	A	Dividend	K	T					
168. GCG 529 Fund #4									
169. -- American Funds SmallCap World Fund 529A	A	Dividend	J	T					
170. -- American Funds Capital Income Builder 529A	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	

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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)
171. Podesta (Millenium Trust) HSA Account	A	Interest			Closed	06/04/13	J		
172. TD Ameritrade (HSA Bank) (X)	A	Interest	J	T	Open	06/04/13	J		
173. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
174. MSJI Inc. Common Stock		None	J	T					
175. Minnesota Life: Variable Adjustment Life Insurance		None			Redeemed	05/21/13	J	E	
176. Buffalo Jayhawk China Fund		None			Buy (add'l)	01/24/13	J		
177.					Sold	01/31/13	J	A	
178. Buffalo International Fund	A	Dividend	K	T	Buy (add'l)	01/31/13	J		
179.					Sold (part)	04/23/13	J	A	
180.					Sold (part)	09/06/13	J	A	
181.					Buy (add'l)	12/19/13	J		
182. Buffalo Balanced (Flexible Income) Fund	A	Dividend	K	T	Buy (add'l)	01/23/13	J		
183.					Buy (add'l)	02/22/13	J		
184.					Buy (add'l)	03/21/13	J		
185.					Buy (add'l)	04/22/13	J		
186.					Sold (part)	04/23/13	J	C	
187.					Buy (add'l)	05/22/13	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	

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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)
188.					Buy (add'l)	06/20/13	J		
189.					Buy (add'l)	07/22/13	J		
190.					Buy (add'l)	08/22/13	J		
191.					Sold (part)	09/06/13	J	C	
192.					Buy (add'l)	09/20/13	J		
193.					Buy (add'l)	10/22/13	J		
194.					Buy (add'l)	11/21/13	J		
195.					Buy (add'l)	12/19/13	J		
196. Buffalo Small Cap Fund	A	Dividend	K	T	Sold (part)	04/23/13	J	B	
197.					Sold (part)	09/06/13	J	C	
198.					Buy (add'l)	12/19/13	J		
199. Buffalo Science & Tech (Discovery) Fund	A	Dividend	K	T	Sold (part)	04/23/13	J	C	
200.					Sold (part)	09/06/13	J	D	
201.					Buy (add'l)	12/19/13	J		
202. Buffalo Large Cap Fund	A	Dividend	K	T	Sold (part)	04/23/13	J	C	
203.					Sold (part)	09/06/13	J	D	
204.					Buy (add'l)	12/19/13	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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)	F = \$50,001 - \$100,000 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	

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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		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)
205. Buffalo USA Growth Fund	A	Dividend	K	T	Sold (part)	04/23/13	J	B	
206.					Sold (part)	09/06/13	J	C	
207.					Buy (add'l)	12/19/13	J		
208. Northern Inst. Tax -Exempt		None	J	T					
209. Bailey & Glasser 401k Profit Sharing Plan			L	T					
210. -- Vanguard Wellington Admiral	A	Int./Div.			Sold	04/12/13	J	A	
211. -- T Rowe Price Blue Chip Growth	A	Int./Div.			Sold	04/12/13	J	A	
212. -- Morgan Stanley Inst MidCap Gr	A	Int./Div.			Sold	04/12/13	J	A	
213. -- Goldman Sachs Growth Opp Cl I	A	Int./Div.	J	T	Buy (add'l)	04/12/13	J		
214. -- Oakmark Global	A	Int./Div.			Sold	04/12/13	J	A	
215. -- Prud Jenn Natural Resources A (X)	A	Int./Div.	J	T	Buy	04/12/13	J		
216. -- Oppenheimer Developing Markets A (X)	A	Int./Div.	J	T	Buy	04/12/13	J		
217. -- American Funds Cap Wld Gr Inc R3 (X)	A	Int./Div.	J	T	Buy	04/12/13	J		
218. -- Nuveen Small Cap Index A (X)	A	Int./Div.	J	T	Buy	04/12/13	J		
219. Sequella, Inc.		None	M	T					
220. IRX Therapeutics, Inc.		None	L	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII:

1. Lines 3, 153, 159, 162, 165, 168, and 209 are headers for various funds -- the individual holdings of each fund, values, and transactions are reported in the lines below each header.
2. For line 172, the HSA account with TD Ameritrade (HSA Bank) is now below \$100.00 in value and will be spent down to zero during 2014.
3. For lines 4-52, 54-102, and 103-151, the volume of trades between the various Prudential accounts, sometimes every day for a week or more, takes place to keep a guaranteed minimum value in the account.
4. For line 103, the asset "AST First Trust Cap/Prudential Growth Allocation Portfolio" was formerly known as "AST First Trust Cap Appr Target Portfolio."

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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
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Washington, D.C. 20544