

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 05/13/2015
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 01/01/2014 to 12/31/2014
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. 2014	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. University of Michigan Law School	4/2/14 to 4/3/14	Ann Arbor, MI	Judge Moot Court Finals	transportation, meals, lodging
2. Duke University Law School	11/13/14 to 11/14/14	Washington, DC	Attend conference on civil rules	transportation, meals, lodging
3. Lawyers for Civil Justice	12/3/14 to 12/4/14	New York, NY	Speak on Rule 23 Subcommittee proposals at meeting	transportation, 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.	Richard Deitz	Tickets to pre-season game Cleveland Cavaliers v. Tel Aviv Maccabi	\$400.00
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)	01/07/14	J		
5.					Buy (add'l)	01/10/14	J		
6.					Buy (add'l)	01/29/14	J		
7.					Buy (add'l)	02/25/14	J		
8.					Buy (add'l)	05/01/14	J		
9.					Buy (add'l)	05/28/14	K		
10.					Sold (part)	09/15/14	L		
11.					Buy (add'l)	09/15/14	M		
12.					Sold (part)	09/15/14	L		
13.					Sold (part)	12/26/14	J		
14. -- AST Prudential Growth Allocation Portfolio		None	M	T	Buy (add'l)	01/07/14	K		
15.					Buy (add'l)	01/10/14	K		
16.					Buy (add'l)	01/29/14	K		
17.					Buy (add'l)	02/25/14	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = \$100,001 - \$250,000
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)	05/01/14	K		
19.					Buy (add'l)	05/28/14	L		
20.					Sold (part)	09/15/14	N		
21.					Buy (add'l)	09/15/14	O		
22.					Sold (part)	09/15/14	O		
23.					Sold (part)	12/26/14	J		
24. -- AST Bond Portfolio 2022 (Y)									
25. -- AST Bond Portfolio 2023		None			Sold	09/15/14	N		
26.					Sold (part)	01/07/14	K		
27.					Sold (part)	01/10/14	K		
28.					Sold (part)	01/29/14	K		
29.					Sold (part)	02/25/14	K		
30.					Sold (part)	05/01/14	L		
31.					Sold (part)	05/28/14	L		
32. -- AST Capital Growth Asset Allocation Portfolio (X)		None	M	T	Buy	09/15/14	M		
33.					Sold (part)	12/26/14	J		
34. -- AST Franklin Templeton Founding Funds Plus Portfolio (X)		None	L	T	Buy	09/15/14	L		

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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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☐ NONE (No reportable income, assets, or transactions.)

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	(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.					Sold (part)	12/26/14	J		
36. -- AST Schroders Global Tactical Portfolio (X)		None	M	T	Buy	09/15/14	M		
37.					Sold (part)	12/26/14	J		
38. -- AST Schroders Multi-Asset World Strategies Portfolio (X)		None	M	T	Buy	09/15/14	M		
39.					Sold (part)	12/26/14	J		
40. Harris Bank accounts	A	Interest	J	T					
41. GCG Mutual Fund									
42. -- American Funds Euro Pacific Growth	A	Dividend	J	T					
43. -- American Funds Fundamental Investors	A	Dividend	J	T					
44. -- American Funds Small Cap World Fund	A	Dividend	J	T					
45. -- American Funds Bond Fund of America	A	Dividend	J	T					
46. -- American Funds Growth Fund of America	A	Dividend	J	T					
47. GCG 529 Fund #1									
48. -- EuroPacific Growth Fund 529A	A	Dividend	K	T					
49. -- American Funds New Economy Fund	A	Dividend	K	T					
50. -- AMCAP Fund -- 529A (X)	A	Dividend	J	T	Buy	11/03/14	J		
51. -- American Balanced Fund -- 529A (X)	A	Dividend	J	T	Buy	11/03/14	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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52. -- Capital Income Builder -- 529A (X)	A	Dividend	J	T	Buy	11/03/14	J		
53. GCG 529 Fund #2									
54. -- American Funds Capital World G/I 529A	A	Dividend	K	T					
55. -- American Funds Growth Fund of America 529A	A	Dividend	K	T					
56. GCG 529 Fund #3									
57. -- New Perspective Fund 529A	A	Dividend	K	T					
58. -- American Funds Fundamental Investors 529A	A	Dividend	K	T					
59. GCG 529 Fund #4									
60. -- American Funds SmallCap World Fund 529A	A	Dividend	J	T					
61. -- American Funds Capital Income Builder 529A	A	Dividend	J	T					
62. Podesta (Millenium Trust) HSA Account (Y)									
63. TD Ameritrade (HSA Bank)	A	Interest	J	T					
64. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
65. MSJI Inc. Common Stock		None			Distributed	06/30/14	J	A	
66. Minnesota Life Variable Adjustment Life Insurance (Y)									
67. Buffalo Jayhawk China Fund (Y)									
68. Buffalo International Fund	A	Dividend	K	T	Buy (add'l)	12/19/14	J		

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69. Buffalo Balanced (Flexible Income) Fund	A	Dividend	K	T	Buy (add'l)	01/23/14	J		
70.					Buy (add'l)	02/21/14	J		
71.					Buy (add'l)	03/20/14	J		
72.					Buy (add'l)	04/23/14	J		
73.					Buy (add'l)	05/22/14	J		
74.					Buy (add'l)	06/20/14	J		
75.					Buy (add'l)	07/22/14	J		
76.					Buy (add'l)	08/21/14	J		
77.					Buy (add'l)	09/22/14	J		
78.					Buy (add'l)	10/22/14	J		
79.					Buy (add'l)	11/20/14	J		
80.					Buy (add'l)	12/19/14	J		
81. Buffalo Small Cap Fund	A	Dividend	K	T	Buy (add'l)	12/19/14	J		
82. Buffalo Science & Tech (Discovery) Fund	A	Dividend	K	T	Buy (add'l)	12/19/14	J		
83. Buffalo Large Cap Fund	A	Dividend	K	T	Buy (add'l)	12/19/14	J		
84. Buffalo USA Growth Fund	A	Dividend	K	T	Buy (add'l)	12/19/14	J		
85. Northern Inst. Tax -Exempt		None	J	T					

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86. Bailey & Glasser 401k Profit Sharing Plan									
87. -- Vanguard Wellington Admiral (Y)									
88. -- T Rowe Price Blue Chip Growth (Y)									
89. -- Morgan Stanley Inst MidCap Gr (Y)									
90. -- Goldman Sachs Growth Opp Cl I	A	Int./Div.	K	T					
91. -- Oakmark Global (Y)									
92. -- Prud Jenn Natural Resources A (X)	A	Int./Div.	J	T					
93. -- Oppenheimer Developing Markets A (X)	A	Int./Div.	K	T					
94. -- American Funds Cap Wld Gr Inc R3 (X)	A	Int./Div.	K	T					
95. -- Nuveen Small Cap Index A (X)	A	Int./Div.	K	T					
96. Sequella, Inc.		None	M	T					
97. IRX Therapeutics, Inc.		None	L	T					

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

5.24Part VII:

1. Lines 3, 41, 47, 53, 56, 59, and 86 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 63, the HSA account with TD Ameritrade (HSA Bank) has a current balance of \$3.69 and will be closed during 2015.
3. For lines 4-39, the trades between the various Prudential accounts take place to keep a guaranteed minimum value in the account.
4. For lines 24, 55, 67, 87-89, and 91, the (Y) indicates an asset that was closed in 2013 and thus no longer needs to be reported in 2014.
5. For line 65, the investment lost money and the company distributed a percentage of the original investment to each investor in 2014. We recovered about 35 cents on each dollar of investment.

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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