

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Guzman, Ronald A.	2. Court or Organization Northern District of Illinois	3. Date of Report 07/05/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior Status Article III Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 219 S. Dearborn St. Chambers 1886 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.	
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.)*

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. 2018

State University Retirement PPD.

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.

2.

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.)*

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.		

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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. Franklin Fedl Tax Free Inc. (jt) (FKTIX)	A	Interest	K	T					
2. Walgreen Co. Common Stock (jt) (WBA)	A	Dividend	K	T					
3. American Capital Income Builder Mutual Stock Fund (jt) CAIBX	A	Dividend	K	T					
4. Morgan Stanley Instl FD Port A (MTIPX)	A	Dividend	J	T					
5. Invesco Comstock Class A (ACSTX) (sp)	A	Dividend	J	T					
6. Invesco Corp Bond Fund Class A (ACCBX) (sp)	A	Dividend	J	T					
7. In Mid Cap Grth Class A (sp) (VGRAX)	A	Dividend	J	T					
8. Invesco Equity and Inc Class A (sp) (ACEIX)	A	Dividend	J	T					
9. Invesco International Growth Fund Class A (sp) (AIEX)	A	Dividend	J	T					
10. Invesco Amer Value Class A (MSAVX) sp	A	Dividend	J	T					
11. Fidelity Advisor Small Cap A (FSCDX)	A	Dividend	J	T					
12. Fidelity Advisor Mid Cap II A (FIHAX)	A	Dividend	J	T					
13. Fidelity Advisor High Inc Advt Class A (FAHDX)	A	Dividend	J	T					
14. Fidelity Advisor Intl Discovery A (FAIDX)	A	Dividend	J	T					
15. Fidelity Advisor Emerging Mkts Inc. A (FMKAX)	A	Dividend	J	T	Merged (with line 16)	12/10/18			
16. Fidelity New New Mkt Inc. (FGVMX)	A	Dividend	J	T					
17. Fidelity Advisor New Insights A (FNIAX)	A	Dividend	J	T					

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		

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18. JP Morgan Liquid Asset Fund (QDERQ)	A	Int./Div.	J	T					
19. JPMorgan Chase Bank, N.A. Account	A	Interest	M	T					
20. JP Morgan Chase Bank Checking Checking X	A	Interest	K	T					
21. JP Morgan Chase Bank Probate Estate Checking Acct X	A	Interest	M	T					
22. CHARLES SCHWAB US REIT (SCHH)	A	Int./Div.	J	T	Buy	03/05/18	J		
23. ISHARES GOLD ETF SYMBOL: (IAU)	A	Int./Div.	J	T	Buy	03/05/18	J		
24. ISHARES HIGH YIELD CORPORAT BOND ETF SYMBOL: SHYG	A	Int./Div.	J	T	Buy	02/06/18	J		
25. SCHWAB EMERGING MARKETS EQUITY ETF SYMBOL: (SCHE)	A	Int./Div.	J	T	Buy	09/11/18	J		
26.					Buy	03/05/18	J		
27. SCHWAB FUNDA EMG MKTS LARGE COM ETF (FNDE)	A	Int./Div.	J	T	Buy	03/05/18	J		
28. SCHWAB FUNDAMENTAL INL LARGE COM ETF SYMBOL: (FNDF)	A	Int./Div.	J	T	Buy	03/05/18	J		
29. SCHWAB FUNDAMENTAL INTL SMAL COM ETF SYMBOL: (FNDC)	A	Int./Div.	J	T	Buy	12/14/18	J		
30. SCHWAB FUNDAMENTAL US LARGE CO ETF SYMBOL: (FNDX)	A	Int./Div.	J	T	Buy	03/05/18	J		
31. SCHWAB FUNDAMENTAL US SMALL COM ETF SYMBOL: (FNDA)	A	Int./Div.	J	T	Buy	03/05/18	J		
32. SCHWAB INTERNATIONAL EQUITY ETF SYMBOL: (SCHF)	A	Int./Div.	J	T	Buy	12/14/18	J		
33.					Buy	03/05/18	J		
34. SCHWAB INTERNATNAL SMALL CAP EQY ETF SYMBOL: (SCHC)	A	Int./Div.	J	T	Buy	03/05/18	J		

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35. SCHWAB US LARGE CAP ETF SYMBOL (SCHX)	A	Int./Div.	J	T	Buy	03/05/18	J		
36. SCHWAB US SMALL CAP ETF (SCHA)	A	Int./Div.	J	T	Buy	03/05/18	J		
37. SCHWAB US TIPS ETF SYMBOL: (SCHP)	A	Int./Div.	J	T	Buy	05/29/18	J		
38.					Buy	03/05/18	J		
39.					Sold	10/01/18	J	A	
40. VANECK VECTORS J EMERG MKTS (EMLC)	A	Int./Div.	J	T	Sold	09/04/18	J	A	
41. VANGUARD GLBAL EX US REAL ESTATE ETF SYMBOL: (VNQI)	A	Int./Div.	J	T	Buy	03/05/18	J		
42. VANGUARD MUNI BND TAXEXEMPT ETF SYMBOL: (VTEB)	A	Int./Div.	K	T	Buy	02/06/18	J		
43.					Buy	05/25/18	J		
44.					Sold (part)	09/25/18	K	A	
45.					Buy	11/02/18	K		
46. VANGUARD TOTAL INTERNATIONAL BND ETF (BNDX)	A	Int./Div.	J	T	Buy	03/05/18	J		
47. SCHWAB BANK SWEEPS ACCOUNT	A	Interest	J	T	Open	05/15/17	J		
48. SPDR BLMBRG BRCLY EMG: (EBND)	A	Int./Div.	J	T	Buy	09/11/18	J		
49.	A	Int./Div.	J	T	Buy	09/04/18	J		
50. XTRACKERS USD HIGH YIELD COR BND ETF (HYLB)	A	Int./Div.	J	T	Buy	06/06/18	J		
51.					Buy	03/05/18	J		

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52. SPDR BLOOMBERG BARCLAYS: (IPE)	A	Int./Div.	J	T	Buy	10/01/18	J		
53. INVESCO FTSE RAFI DEVELOPED MARKETS: (PDN)	A	Int./Div.	J	T	Buy	12/21/18	J		
54. NVESCO FTSE RAFI US1000 ETF: (PRF)	A	Int./Div.	J	T	Buy	12/26/18	J		
55.					Buy	12/24/18	J		
56. NVESCO FTSE RAFI500 SMALL-MID ETF: (PRFZ)	A	Int./Div.	J	T	Buy	12/26/18	J		
57.					Buy	12/24/18	J		
58. INVESCO FTSE RAFI DEVELOPED MARKETS: (PXF)	A		J	T	Buy	12/14/18	J		
59.					Buy	12/12/18	J		
60. INVESCO FTSE RAFI EMERGING MARKETS ETF: (PXH)	A	Int./Div.	J	T	Buy	12/26/18	J		
61.					Buy	12/14/18	J		
62. SPDR NUVEEN BLMBRG BARCLAYS MUN BD ETF (TFI)	A	Int./Div.	K	T	Buy	09/27/18	K		
63. VANGUARD FTSE DEVELOPED MARKETS ETF (VEA)	A	Int./Div.	J	T	Buy	12/20/18	J		
64.									

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

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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/ Ronald A. Guzman**

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