

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) Dow, Jr., Robert M.	2. Court or Organization U.S. District Court, Northern District of Illinois	3. Date of Report 05/14/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address E.M. Dirksen U.S. Courthouse 219 South Dearborn Street, Room 2303 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.)*

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 of Illinois - income as Associate Judge for the 12th Judicial Circuit of Illinois
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. Emory University Law School	1/18/18 to 1/19/18	Atlanta, GA	Attend and present at complex litigation conference	transportation, food, lodging
2. Columbia University Law School	3/1/18 to 3/2/18	New York, NY	Attend and present at class action conference honoring Judge Posner	transportation, food, lodging
3. Duke University Law School	4/25/18 to 4/26/18	Atlanta, GA	Attend and present at conference on amendments to FRCP	transportation, food, lodging
4. Allegheny County Bar Association	5/15/18 to 5/16/18	Pittsburgh, PA	Present speech on amendments to FRCP 23	transportation, food, lodging

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5.	Emory University Law School	6/3/18 to 6/5/18	Berkeley,CA	Attend and present at complex litigation conference	transportation, food, lodging
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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 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)
1. Northern Trust Bank accounts	A	Interest	J	T					
2. Northern Trust Bank IRA (CD)	A	Interest	J	T					
3. First Community Bank accounts	A	Interest	J	T					
4. Prudential Individual Retirement Annuity									
5. -- AST Academic Strategies Asset Allocation		None			Sold (part)	10/18/18	J		
6.					Sold	11/01/18	J		
7. -- AST Prudential Growth Allocation Portfolio		None			Sold (part)	10/18/18	K		
8.					Sold	11/01/18	K		
9. -- AST Bond Portfolio 2025		None			Sold (part)	10/18/18	N		
10.					Sold	11/01/18	N		
11. -- AST Capital Growth Asset Allocation Portfolio		None			Sold (part)	10/18/18	J		
12.					Sold	11/01/18	J		
13. -- AST RCM World Trends Portfolio		None			Sold (part)	10/18/18	J		
14.					Sold	11/01/18	J		
15. Harris Bank accounts	A	Interest	J	T					
16. GCG Mutual Fund									
17. -- American Funds Euro Pacific Growth		None			Distributed	04/11/18	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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18. -- American Funds Fundamental Investors	A	Dividend			Distributed	04/11/18	J		
19. -- American Funds Small Cap World Fund		None			Distributed	04/11/18	J		
20. -- American Funds Bond Fund of America	A	Dividend			Distributed	04/11/18	J		
21. -- American Funds Growth Fund of America		None			Distributed	04/11/18	J		
22. GCG 529 Fund #1									
23. -- EuroPacific Growth Fund 529A	A	Dividend			Distributed	12/18/18	J		
24. -- American Fund New Economy Fund		None			Distributed	12/18/18	J		
25. -- AMCAP Fund -- 529A	A	Dividend			Distributed	12/18/18	J		
26. -- American Balanced Fund -- 529A	A	Dividend			Distributed (part)	07/23/18	J		
27.					Distributed	12/18/18	J		
28. -- Capital Income Fund -- 529A	A	Dividend			Distributed (part)	07/23/18	J		
29.					Distributed	12/18/18	J		
30. GCG 529 Fund #2									
31. --American Funds Capital World G/I 529A	A	Dividend	K	T	Distributed (part)	08/29/18	J		
32. -- American Funds Growth Fund of America 529A	A	Dividend	K	T	Distributed (part)	01/11/18	J		
33.					Distributed (part)	08/29/18	J		
34. GCG 529 Fund #3									

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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. -- New Perspective Fund 529A	A	Dividend	K	T	Distributed (part)	06/15/18	J		
36. -- American Funds Fundamental Investors 529A	A	Dividend	K	T	Distributed (part)	02/27/18	J		
37.					Distributed (part)	06/15/18	J		
38. GCG 529 Fund #4									
39. -- American Funds SmallCap World Fund 529A	A	Dividend	J	T	Distributed (part)	06/15/18	J		
40. -- American Funds Capital Income Builder 529A	A	Dividend	J	T	Distributed (part)	02/27/18	J		
41.					Distributed (part)	06/15/18	J		
42. TD Ameritrade (HSA Bank)		None	J	T					
43. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
44. Buffalo International Fund #1449	A	Dividend	J	T	Buy (add'l)	12/19/18	J		
45. Buffalo Balanced (Flexible Income) Fund	A	Dividend	J	T	Buy (add'l)	01/22/18	J		
46.					Buy (add'l)	02/23/18	J		
47.					Buy (add'l)	03/22/18	J		
48.					Buy (add'l)	04/20/18	J		
49.					Buy (add'l)	05/22/18	J		
50.					Buy (add'l)	06/22/18	J		
51.					Buy (add'l)	07/19/18	J		

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52.					Buy (add'l)	08/22/18	J		
53.					Buy (add'l)	09/20/18	J		
54.					Buy (add'l)	11/20/18	J		
55.					Buy (add'l)	12/19/18	J		
56. Buffalo Small Cap Fund	A	Dividend	J	T	Buy (add'l)	12/19/18	J		
57. Buffalo Science & Tech (Discovery) Fund	A	Dividend	J	T	Buy (add'l)	12/19/18	J		
58. Buffalo Large Cap Fund	A	Dividend	J	T	Buy (add'l)	12/19/18	J		
59. Buffalo USA Growth Fund	A	Dividend	J	T	Buy (add'l)	12/19/18	J		
60. Northern Inst. Tax - Exempt		None	J	T					
61. Securian Rollover IRA Account									
62. -- Federated Prime Cash Oblig Svc		None			Closed	01/09/18	J		
63. -- Invesco Convertible Sec Fund	A	Dividend			Sold	09/05/18	J	A	
64. -- Dodge & Cox Intl Fund		None			Sold	09/05/18	J	A	
65. -- Goldman Sachs Mid-Cap Value Fund (Y)									
66. -- Harbor Intl Fund (Y)									
67. -- Homestead Value Fund	A	Dividend			Sold	09/05/18	K	B	
68. -- JP Morgan Small-Cap Growth Fund		None			Sold	09/05/18	J	C	

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69. -- Loomis Sayles Strat Income Fund	A	Dividend			Sold	09/05/18	J	A	
70. -- MFS Intl New Discovery Fund (Y)									
71. -- Northern Small Cap Value Fund		None			Sold	09/05/18	J	B	
72. -- Oppenheimer Developing Markets		None			Sold	09/05/18	J	B	
73. -- Primecap Odyssey Growth Fund		None			Sold	09/05/18	J	B	
74. -- Principal High Yield Fund Class P	A	Dividend			Sold (part)	09/05/18	J	A	
75.					Sold	12/07/18	J	A	
76. -- Prudential Global Real Estate Fund	A	Dividend			Sold	09/05/18	J	A	
77. -- T Rowe Price Blue Chip Growth	A	Dividend			Sold	09/05/18	J	D	
78. -- Templeton Global Bond Fund Advisor	A	Dividend			Sold	09/05/18	J	A	
79. -- Van Eck Global Hard Assets Fund (Y)									
80. -- AQR		None			Sold	09/05/18	J	A	
81. -- Columbia Commodity	A	Dividend			Sold	09/05/18	J	A	
82. -- Victory		None			Sold	09/05/18	J	B	
83. -- Diamond Hill		None			Sold	09/05/18	J	A	
84. -- Fidelity Advisor Intl Growth Class	A	Dividend			Sold	09/05/18	J	B	
85. -- Ivy Emerging Markets (X)		None			Buy	09/05/18	J		

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86.					Sold	12/07/18	J	A	
87. -- Nuveen Small Cap (X)		None			Buy	09/05/18	J		
88.					Sold	12/07/18	J	A	
89. -- Virtus Kar Small Cap Growth (X)		None			Buy	09/05/18	J		
90.					Sold	12/07/18	J	A	
91. -- Alger Small Cap Focus (X)	A	Dividend	J	T	Buy	09/05/18	J		
92. -- Columbia Overseas Value (X)	A	Dividend	J	T	Buy	09/05/18	J		
93. -- Goldman Sachs Intl Sm Cap (X)	A	Dividend	J	T	Buy	09/05/18	J		
94. -- MFS New Discovery Value Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
95. -- American New World Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
96. -- T Rowe Price Intnatl Discovery Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
97. -- Vanguard Intl Growth Port Inv (X)	A	Dividend	J	T	Buy	09/05/18	J		
98. -- Doubleline Low Duration Bond (X)	A	Dividend	J	T	Buy	09/05/18	J		
99. -- Pimco Intl Bd (X)	A	Dividend	J	T	Buy	09/05/18	J		
100. -- Pimco Income Fund Inst Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
101. -- Vanguard Short Term Invmt Grade (X)	A	Dividend	J	T	Buy	09/05/18	J		
102. -- Vanguard Inflation Protected (X)	A	Dividend	J	T	Buy	09/05/18	J		

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103. -- Wells Fargo Ultra Short Term (X)	A	Dividend	J	T	Buy	09/05/18	J		
104. -- Western Asset Core Plus Bond Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
105. -- Ishares Russell 1000 Value (X)	A	Dividend	K	T	Buy	09/05/18	J		
106. -- Ishares Russell 1000 Growth (X)	A	Dividend	K	T	Buy	09/05/18	J		
107. -- Ishares Russell 2000 ETF (X)	A	Dividend	J	T	Buy	09/05/18	J		
108. -- Vanguard FTSE Developed Market (X)	A	Dividend	K	T	Buy	09/05/18	J		
109. -- Vanguard Intl Equity Index Fund (X)	A	Dividend	J	T	Buy	09/05/18	J		
110.					Sold (part)	12/10/18	K	A	
111. Sequella, Inc.		None	M	T					
112. IRX Therapeutics, Inc.		None	L	T					
113. Jackson National Life Annuity (X)									
114. -- JNL/American Growth (X)		None	L	T	Buy	10/22/18	L		
115. -- JNL/Double Line CAPE (X)		None	L	T	Buy	10/22/18	L		
116. -- JNL/Vanguard Small CoGr (X)		None	L	T	Buy	10/22/18	L		
117. -- JNL/American GIGrowth (X)		None	K	T	Buy	10/22/18	K		
118. -- JNL/MC Hthcare Sector (X)		None	K	T	Buy	10/22/18	K		
119. -- JNL/T.Rowe Price MidCapGr (X)		None	K	T	Buy	10/22/18	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	

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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)
120. -- JNL/MC Info Tech Sector (X)		None	K	T	Buy	10/22/18	K		
121. -- JNL/MC Sm Cap Inded (X)		None	K	T	Buy	10/22/18	K		
122. -- JNL/American Global SmCap (X)		None	K	T	Buy	10/22/18	K		
123. -- JNL/WestchesterCapEventDr (X)		None	K	T	Buy	10/22/18	K		
124. Transamerica Life Annuity (X)									
125. -- TA Jennison Growth (X)		None	K	T	Buy	11/12/18	K		
126. -- TA Morgan Stanley Capital Growth (X)		None	K	T	Buy	11/12/18	K		
127. -- TA WMC US Growth (X)		None	K	T	Buy	11/12/18	K		
128. -- TA T. Rowe Price Small Cap (X)		None	L	T	Buy	11/12/18	L		
129. -- TA Torrey Concentrated Growth (X)		None	K	T	Buy	11/12/18	K		
130. -- TA Janus Mid-Cap Growth (X)		None	K	T	Buy	11/12/18	K		
131. -- American Funds Growth Fund (X)		None	K	T	Buy	11/12/18	K		
132. -- American Funds Growth - Income Fund (X)		None	K	T	Buy	11/12/18	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	

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

Part IV. (continued)

Source Dates Location Purpose Items Paid or Provided

6. American Association for Justice 7/9/18 to 7/10/18 Denver, CO Discussion of possible amendments to FRCP transportation, food, lodging
7. Emory University Law School 8/7/18 to 8/10/18 Atlanta, GA Attend and present at complex litigation conference transportation, food, lodging
8. Lawyers for Civil Justice 9/14/18 Washington, DC Discussion of possible amendments to FRCP transportation, food
9. University of Miami Law School 12/6/18 to 12/8/18 Coral Gables, FL Attend and present at class action conference transportation, food, lodging

Part VII.

1. Lines 4, 16, 22, 30, 34, 38, 61, 113, and 124 are headers.
2. Line 42 is a HSA account tht has a zero balance and will be closed in 2019. I am having difficulty contacting my original contact at TD Ameritrade and may need to try a general number to close the account.
3. For lines 65, 66, 70, and 79, the (Y) indicates an asset that was closed in 2017 and thus no longer needs to be reported for 2018.
4. For lines, 85, 87, 89, 91-109, 113-123, and 125-132, the (X) indicates new assets acquired (and thus now reportable) for 2018.

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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
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