

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2019**

*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) Gettleman, Robert W.	2. Court or Organization U.S. District Court, N.D. Illinois	3. Date of Report 08/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 219 South Dearborn Street Chambers 1788 Chicago, IL 60604		
IMPORTANT NOTES: <i>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>		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Northwestern University School of Law; taught course	\$1,500.00
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. 2019	Teachers' Retirement Pension
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.				
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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Citibank (Chicago)Gold	A	Interest	J	T					
2. Morgan Stanley Liq. Asset Fund	A	Interest	J	T					
3. MS Natural Resources	A	Interest	K	T					
4. Morgan Stanley Active Assets Money Trust	C	Interest	J	T					
5. Ill. St. Civic CTR REF-SPL (Bond)	A	Interest	K	T					
6. Illinois St. Gen. Oblig. (Bond)	A	Interest	K	T					
7. Ill. Health Facs. Auth. (Bond)	A	Interest	J	T					
8. Sacred Silks	A	Interest	J	T					
9. Eldorado Gold CP	A	Dividend			Sold	04/18/19	J	A	
10. Bristol Myers Squibb Co.	A	Dividend	K	T					
11. ING Plus	A	Interest	J	T					
12. GE Money BK n/k/a Synchrony BK	A	Interest	J	T					
13. MS Bank CD	A	Interest	K	T					
14. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
15. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
16. BB&T Corporation	A	Dividend			Sold	01/15/19	J	A	
17. Amer. FDS Cap. Bldrs.	C	Dividend	K	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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18. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
19. U.S. Treas. Bonds	A	Interest	L	T					
20. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
21. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
22. Morgan Stanley European Growth	A	Dividend	K	T					
23. Morgan Standly Pacific Grouwth B	A	Dividend	J	T					
24. Bristol Myers Squibb Co.	A	Dividend	K	T					
25. Novartis AG ADR	A	Dividend	K	T					
26. Raytheon Co (New)	A	Dividend	K	T					
27. GMAC Bank CD	A	Dividend	J	T					
28. Eli Lilly & Co.	A	Dividend			Sold	03/27/19	J	A	
29. Intel Corp.	A	Dividend	K	T					
30. American Mutual A	A	Interest	J	T					
31. Columbia Global Value B	A	Dividend	J	T					
32. Goldman Sachs GRP Inc.	A	Dividend	K	T					
33. Market Vectors Gold Mines	A	Dividend			Sold	04/08/19	J	A	
34. Morgan ST III Cum	A	Dividend	J	T					

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35. Chicago Go-EsD BE	A	Dividend	K	T					
36. Duke Energy Corp	A	Dividend	K	T					
37. Genuine Parts Co.	A	Dividend			Sold	01/15/19	J	A	
38. IBM	A	Dividend			Sold	01/15/19	J	A	
39. Proctor & Gamble	A	Dividend			Sold	01/24/19	J	A	
40. Waste Management	A	Dividend	J	T					
41. Aqua Amer Inc	A	Dividend			Sold	06/11/19	J	A	
42. Verizon Comm	A	Dividend	K	T					
43. Calif St. Genl Oblig	A	Dividend	J	T					
44. Thornburg Inv. Inc.	A	Dividend	J	T					
45. Will Cnty Ill Cmnty Cons Sch Dist. No. 30-C Ser B	A	Interest	J	T					
46. San Diego Cnty Calif Wtr Auth Fing Agy Wt Rev-A	A	Interest	J	T					
47. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
48. 3M Company (MMM)	A	Dividend	K	T					
49. Cisco Syst Inc (CSCO)	A	Dividend	K	T					
50. Wells Fargo & CO	A	Distribution	K	T					
51. Colgate Palmolive Co (CL)	A	Dividend	K	T					

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52. Johnson & Johnson	A	Dividend	K	T					
53. Microsoft Corp (MSFT)	A	Dividend	K	T					
54. Weatherford International LTD (WTF)	A	Dividend	J	T					
55. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
56. Pennsylvania St. Build America Bond	A	Interest	J	T					
57. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
58. New York City Go Build America C-1	A	Interest	J	T					
59. Alcoa Inc (AA)	A	Interest			Sold	08/20/19	J	A	
60. Corning Inc (GLW)	A	Dividend	K	T					
61. Facebook Inc CL-A (FB)	A	Dividend	M	T					
62. General Mtrs Co (GM)	A	Dividend	K	T					
63. Vanguard European MSCI ETF (VGK)	A	Dividend	J	T					
64. Newmont Mining Corp (New) (NEM)	A	Dividend			Sold	02/13/19	J	A	
65. KKR & Co LLP (KKR)	A	Dividend	J	T					
66. Mannkind Corp (MNKD)	A	Dividend			Sold	05/08/19	J	A	
67. United STS STL CP (New) (X)	A	Dividend			Sold	09/10/19	J	A	
68. MS US Inflation Linked Notes	A	Dividend	J	T					

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69. Royal Bank of Scotland	A	Dividend	J	T					
70. Lloyds TSB Bank PLC	B	Dividend	J	T					
71. WP Carey Inc Com (WPC)	A	Dividend	J	T					
72. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
73. BCE 8.25% Contingent Autocall Dis (SQBKD)	A	Dividend	J	T	Spinoff (from line 72)	10/21/19	J		
74. BCS Contingent 9.6% Autocall on BABA (SPZKT)	A	Dividend	J	T	Spinoff (from line 72)	07/23/19	J		
75. Medical Properties Trust Inc (MPW)	A	Dividend	K	T					
76. PPL Corporation (PPL)	A	Dividend	J	T					
77. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
78. Twitter Inc (TWTR)	A	Dividend	J	T					
79. Alibaba Group (BABA)	A	Dividend	K	T					
80. Apple Inc (AAPL)	A	Dividend	J	T					
81. Chevron	A	Dividend	K	T					
82. Northwest Bancshares	A	Dividend	K	T					
83. TMCC STE UP	A	Dividend	J	T					
84. Nike, Inc.	A	Dividend	J	T					
85. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					

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86. Blackstone (BX)	A	Dividend	J	T					
87. Eaton Corp.	A	Dividend			Sold	01/15/19	J	A	
88. China Life	A	Dividend	J	T					
89. Springfield ILL Wtr Rev	A	Dividend	J	T					
90. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Dividend	J	T					
91. Fresno Calif Swr Rev Ser A	A	Dividend	J	T					
92. San Mateo Calif Un High Sch Dist	A	Dividend	J	T					
93. Orange Cnty Calif Santn Wastewater Rev Ref A	A	Dividend	J	T					
94. Amgen Inc	A	Dividend	K	T					
95. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	K	T					
96. United Technologies Corp	A	Dividend	J	T					
97. Walt Disney Co Hldg Co (DIS)	A	Dividend	J	T					
98. Welltower Inc (HCN)	A	Dividend			Sold	01/15/19	J	A	
99. Gabelli Utility Trust	A	Dividend	J	T					
100. Pepsico Inc.	A	Dividend	J	T					
101. Nike, Inc.	A	Dividend	J	T					
102. Anheuser-Busch Inbev Fin	A	Dividend	J	T					

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103. IShares MSCI Euro Financial	A	Dividend	J	T					
104. SPDR Global Dow ETF (DGT)	A	Dividend	J	T					
105. The India Fund Inc (FN)	A	Dividend	K	T					
106. Tortois Energy INFRA (TYG)	A	Dividend	K	T					
107. Vanguard FTSE Europe EFT (VGK)	A	Dividend	L	T					
108. Amazon (Bond)	A	Interest	J	T					
109. MS Dual Directional Trigger Plus on GDX SPUVL	A	Dividend	K	T					
110. MS Dual Directional Trigger Plus on SX5E (SPPVFK)	A	Dividend	K	T					
111. HSBC Continent 8.3% autocall	A	Interest	K	T					
112. Kranesh Bosera MSCI China A (KBA)	A	Interest	K	T					
113. Kraneshares CSI China Internet (KWEB)	A	Interest	K	T					
114. Cook Cnty ILL Genl Oblig Ref	B	Interest	K	T					
115. Cook Cnty Ill Sch Dist No. 084 1/2	B	Interest	K	T					
116. City of Chicago Second Lien Wstwtr Transm Rev	C	Interest	K	T					
117. Los Angeles Calif Dept Arpts Artp Snr Rev Ser-D	A	Interest	K	T					
118. Ventura Cnty Calif Cmnty College Dist Ref	A	Interest	K	T					
119. Citigroup INC FXD to 012023 Var Thereafter 5.9500%	B	Interest	K	T					

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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 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. Citigroup Inc FXD to 112019 VAR Thereafter 5.800%	B	Interest	K	T					
121. Capital One Financial Corp.	A	Interest	K	T					
122. Natwest Marketsk PLC	A	Interest	K	T					
123. The Financial Sel Sect SPDR FD (XLF)	A	Interest	K	T					
124. Chicago City Ill Second Lien WTR Rev Proj & Ref	B	Interest	K	T					
125. State of California Genl Oblig Ref-B	B	Interest	K	T					
126. Coca Cola Co (KO)	A	Interest	K	T	Buy	03/01/19	J		
127. Crown Castle Intl Corp (CCI)	A	Interest	K	T	Buy	03/01/19	J		
128. Brighthouse Financial 6.60-A (BHFAP)	A	Interest	K	T	Buy	01/15/19	J		
129. Digital Realty Trst 5.850-K (DLR.K)	A	Interest	K	T	Buy	03/01/19	J		
130. Keycorp 5.65% Ser-G (KEY.K)	A	Interest	K	T	Buy	03/01/19	J		
131. Oaktree Cap Grp LLC (OAK.A)	A	Interest	K	T	Buy	03/01/19	J		
132. PS Business Parks Inc.	A	Interest	K	T	Buy	03/01/19	J		
133. Vaneck Vectors Gold Mines	A	Interest	K	T	Buy	12/02/19	J		
134. Aegon Funding Corp LLC	A	Interest	K	T	Buy	12/16/19	J		
135. Ford Motor Co.	A	Interest	K	T	Buy	06/04/19	J		
136. WR Berkley Corp	A	Interest	K	T	Buy	12/30/19	J		

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		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. Sempra Energy	A	Interest	K	T	Buy	10/01/19	J		
138. South Jersey Industries, Inc.	A	Interest	K	T	Buy	09/16/19	J		
139. Apollo Global Mgmt Inc.	A	Interest	K	T	Buy	03/01/19	J		
140. BCS Buffered Plus on ASHR (SQALU)	A	Interest	K	T	Buy	05/07/19	J		
141. BCS Buffered Plus on SPX (SQACE)	A	Interest	K	T	Buy	08/08/19	J		
142. BCS Buffered Plus on SX5E (SQAFZ)	A	Interest	K	T	Buy	02/13/19	J		
143. Aspen Insurance Holdings	A	Interest	K	T	Buy	08/08/19	J		
144.									

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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Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/12/2020

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

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Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/12/2020

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 W. Gettleman**

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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