

**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) Guzman, Ronald A.	2. Court or Organization Northern District of Illinois	3. Date of Report 03/30/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 219 S. Dearborn St. Chambers 1886 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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Name of Person Reporting

Guzman, Ronald A.

Date of Report

03/30/2020

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. 2019	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Guzman, Ronald A.	03/30/2020

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 Federal Tax Free Inc. Fund (jt)	A	Interest	K	T					
2. Walgreen Co. Common Stock (jt)	A	Dividend	K	T					
3. American Capital Income Builder Mutual Stock Fund (jt) CAIBX	B	Dividend	K	T					
4. (MTIPX) Morgan Stanley Instl FD Portfol A	A	Dividend	J	T					
5. Invesco Comstock Class A (ACSTX) (sp) Exchange/merger	B	Dividend	J	T					
6. Invesco Corp Bond Fund Class A (ACCBX) (sp) Merger/Exchange	A	Dividend	J	T					
7. Invesco Mid Cap Grth Fnd 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) (AIIEIX)	A	Dividend	J	T					
10. Invesco Amer Value Class B (MSAVX) (sp) X	A	Dividend			Merged (with line 11)	01/01/19	J		
11. Invesco Amer Value Class A (MSAVX) sp	A	Dividend	J	T					
12. Fidelity Advisor Small Cap A (FSCDX)	A	Dividend	J	T	Sold (part)	10/09/19	J	B	
13. Fidelity Advisor Mid Cap II A (FIIAX)	A	Dividend	J	T					
14. Fidelity Advisor High Inc Advt Class A (FAHDX)	A	Dividend	J	T			J		
15. Fidelity Advisor Intl Discovery A (FAIDX)	A	Dividend	J	T					
16. Fidelity New MktInc. (FGVMX)	A	Int./Div.	J	T					
17. Fidelity Advisor New Insights A (FNIAX)	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	

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)
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			J		
23. ISHARES GOLD ETF SYMBOL: IAU	A	Int./Div.	J	T			J		
24. ISHARES HIGH YIELD CORPORAT BOND ETF SYMBOL: SHYG	A	Int./Div.	J	T			J		
25. SCHWAB EMERGING MARKETS EQUITY ETF SYMBOL: SCHE	A	Int./Div.	J	T			J		
26. SCHWAB FUNDA EMG MKTS LARGE COM ETF SYMBOL: FNDE	A	Int./Div.	J	T			J		
27. SCHWAB INTERNATNAL SMALL CAP EQY ETF SYMBOL: SCHC	A	Int./Div.	J	T					
28. SCHWAB US LARGE CAP ETF SYMBOL: SCHX	A	Int./Div.	J	T					
29. SCHWAB US SMALL CAP ETF SYMBOL: SCHA	A	Int./Div.	J	T					
30. VANGUARD GLBAL EX US REAL ESTATE ETF SYMBOL: VNQI	A	Int./Div.	J	T					
31. VANGUARD MUNI BND TAXEXEMPT ETF SYMBOL: VTEB	A	Int./Div.	K	T					
32. SCHWAB BANK SWEEPS ACCOUNT	A	Interest	K	T					
33. SPDR BLM BARCLY EMG. (EBND)	A	Int./Div.	J	T					
34. XTRACKERS USD HIGH YIELD COR BND ETF (HYLB)	A	Int./Div.	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)
35. SPDR BLOOM BARC (IPE)	A	Int./Div.	J	T					
36. INVESCO FTSE RAFI DEV. MKTS (PDN)	A	Int./Div.	J	T					
37. INVESCO FTSE RAFI US 1000 ETF (PRF)	A	Int./Div.	J	T					
38. INVESCO FTSE RAFI 500 SMALL-MID ETF (PRFZ)	A	Int./Div.	J	T					
39. INVESCO FTSE RAFI DEVELOPED MARKETS (PXF)	A	Int./Div.	J	T					
40. INVESCO FTSE RAFI EMERGING MKTS ETF (PXH)	A	Int./Div.	J	T					
41. VANGUARD FTSE DEVELOPED MKTS ETF (VEA)	A	Int./Div.	J	T					

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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 VII

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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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