

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                        |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Dow, Jr., Robert M.                                                                                                                  | <b>2. Court or Organization</b><br><br>U.S. District Court, Northern District of Illinois                                                                                                                                              | <b>3. Date of Report</b><br><br>06/08/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge -- Active Status                                          | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>E.M. Dirksen U.S. Courthouse<br>219 South Dearborn Street, Room 2303<br>Chicago, IL 60604                                                                     |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. |  |

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Dow, Jr., Robert M.

Date of Report

06/08/2021

**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><br>(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. 2020     | 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.)*

|    | <u>SOURCE</u>                                   | <u>DATES</u>       | <u>LOCATION</u>  | <u>PURPOSE</u>                                | <u>ITEMS PAID OR PROVIDED</u> |
|----|-------------------------------------------------|--------------------|------------------|-----------------------------------------------|-------------------------------|
| 1. | University of Miami Law School                  | 1/22/20 to 1/26/20 | Coral Gables, FL | Attend and present at class action conference | transportation, food, lodging |
| 2. | University of Texas Law School                  | 1/30/20 to 2/1/20  | Austin, TX       | Attend and present at class action conference | transportation, food, lodging |
| 3. | University of San Diego / Western Alliance Bank | 3/4/20 to 3/7/20   | San Diego, CA    | Attend and present at class action conference | transportation, food, lodging |
| 4. |                                                 |                    |                  |                                               |                               |
| 5. |                                                 |                    |                  |                                               |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Dow, Jr., Robert M.      | 06/08/2021     |

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. Chase Bank | credit card | K          |
| 2.            |             |            |
| 3.            |             |            |
| 4.            |             |            |
| 5.            |             |            |

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Name of Person Reporting

Dow, Jr., Robert M.

Date of Report

06/08/2021

## 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Northern Trust Bank accounts                                                                                            | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Northern Trust Bank IRA (CD)                                                                                            | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. First Commuity Bank accounts                                                                                            | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Harris Bank accounts                                                                                                    | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. GCG 529 Fund #2                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 6. --American Funds Capital World G/I 529A                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Distributed<br>(part)                           | 01/08/20                | J                               |                                |                                                                   |
| 7.                                                                                                                         |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 07/06/20                | J                               |                                |                                                                   |
| 8. -- American Funds Growth Fund of America<br>529A                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Distributed<br>(part)                           | 01/08/20                | J                               |                                |                                                                   |
| 9.                                                                                                                         |                                        |                                               |                                                |                                           | Distributed<br>(part)                           | 07/06/20                | J                               |                                |                                                                   |
| 10. GCG 529 Fund #3                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 11. -- New Perspective Fund 529A                                                                                           | A                                      | Dividend                                      | K                                              | T                                         | Distributed<br>(part)                           | 01/08/20                | J                               |                                |                                                                   |
| 12. -- American Funds Fundamental Investors<br>529A                                                                        | A                                      | Dividend                                      | K                                              | T                                         | Distributed<br>(part)                           | 07/06/20                | J                               |                                |                                                                   |
| 13. GCG 529 Fund #4                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 14. -- American Funds SmallCap World Fund<br>529A                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Distributed<br>(part)                           | 01/08/20                | J                               |                                |                                                                   |
| 15. -- American Funds Capital Income Builder<br>529A                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Distributed<br>(part)                           | 07/06/20                | J                               |                                |                                                                   |
| 16. TD Ameritrade (HSA Bank)                                                                                               |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. Sauk Valley Community Bank Common<br>Stock                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000<br>J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000<br>K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000<br>L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000<br>M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | Q =Appraisal<br>U =Book Value                                                                                                       | R =Cost (Real Estate Only)<br>V =Other                                                                     | S =Assessment<br>W =Estimated                                                                                                                   | T =Cash Market                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. Buffalo International Fund #1449 (Y)                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 19. Buffalo Balanced (Flexible Income) Fund (Y)                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 20. Buffalo Small Cap Fund (Y)                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 21. Buffalo Science & Tech (Discovery) Fund (Y)                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 22. Buffalo Large Cap Fund (Y)                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 23. Buffalo USA Growth Fund (Y)                                                                                            |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 24. Northern Inst. Tax - Exempt (Y)                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 25. Securian Rollover IRA Account (Y)                                                                                      |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 26. -- Alger Small Cap Focus (Y)                                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 27. -- Columbia Overseas Value (Y)                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 28. -- Goldman Sachs Intl Sm Cap (Y)                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 29. -- MFS New Discovery Value Fund (Y)                                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 30. -- American New World Fund (Y)                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 31. -- T Rowe Price Intnatl Discovery Fund (Y)                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 32. -- Vanguard Intl Growth Port Inv (Y)                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 33. -- Doubleline Low Duration Bond (Y)                                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 34. -- Pimco Intl Bd (Y)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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Name of Person Reporting

Dow, Jr., Robert M.

Date of Report

06/08/2021

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                              |  |      |   |   |  |  |  |  |  |
|----------------------------------------------|--|------|---|---|--|--|--|--|--|
| 35. -- Pimco Income Fund Inst Fund (Y)       |  |      |   |   |  |  |  |  |  |
| 36. -- Vanguard Short Term Invmt Grade (Y)   |  |      |   |   |  |  |  |  |  |
| 37. -- Vanguard Inflation Protected (Y)      |  |      |   |   |  |  |  |  |  |
| 38. -- Wells Fargo Ultra Short Term (Y)      |  |      |   |   |  |  |  |  |  |
| 39. -- Western Asset Core Plus Bond Fund (Y) |  |      |   |   |  |  |  |  |  |
| 40. -- Ishares Russell 1000 Value (Y)        |  |      |   |   |  |  |  |  |  |
| 41. -- Ishares Russell 1000 Growth (Y)       |  |      |   |   |  |  |  |  |  |
| 42. -- Ishares Russell 2000 ETF (Y)          |  |      |   |   |  |  |  |  |  |
| 43. -- Vanguard FTSE Developed Market (Y)    |  |      |   |   |  |  |  |  |  |
| 44. -- Vanguard Intl Equity Index Fund (Y)   |  |      |   |   |  |  |  |  |  |
| 45. Sequella, Inc.                           |  | None | M | T |  |  |  |  |  |
| 46. IRX Therapeutics, Inc.                   |  | None | L | T |  |  |  |  |  |
| 47. Jackson National Life Annuity            |  |      |   |   |  |  |  |  |  |
| 48. -- JNL/American Growth                   |  | None | M | T |  |  |  |  |  |
| 49. -- JNL/Double Line CAPE                  |  | None | M | T |  |  |  |  |  |
| 50. -- JNL/Vanguard Small CoGr               |  | None | L | T |  |  |  |  |  |
| 51. -- JNL/American GIGrowth                 |  | None | L | T |  |  |  |  |  |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. -- JNL/MC Hthcare Sector                                                                                               |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 53. -- JNL/T.Rowe Price MidCapGr                                                                                           |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 54. -- JNL/MC Info Tech Sector                                                                                             |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 55. -- JNL/MC Sm Cap Inded                                                                                                 |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 56. -- JNL/American Global SmCap                                                                                           |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 57. -- JNL/WestchesterCapEventDr                                                                                           |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 58. Transamerica Life Annuity                                                                                              |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 59. -- TA Jennison Growth                                                                                                  |                                        | None                                   |                                                |                                    | Merged<br>(with line 62)                  | 01/01/20         | K                        |                         |                                                            |
| 60. -- TA Morgan Stanley Capital Growth                                                                                    |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 61. -- TA WMC US Growth                                                                                                    |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 62. -- TA T. Rowe Price Small Cap                                                                                          |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 63. -- TA Torrey Concentrated Growth                                                                                       |                                        | None                                   |                                                |                                    | Merged<br>(with line 64)                  | 01/01/20         | K                        |                         |                                                            |
| 64. -- TA Janus Mid-Cap Growth                                                                                             |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 65. -- American Funds Growth Fund                                                                                          |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 66. -- American Funds Growth - Income Fund                                                                                 |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dow, Jr., Robert M.

Date of Report

06/08/2021

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

Part VII.

1. Lines 5, 10, 13, 25, 47, and 58 are headers.

2. Line 42 is a HSA account tht has a zero balance and I will try to close it this year. 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 18 through 24 (indicated with a Y), the funds were liquidated in April 2019 to pay for educational expenses and thus no longer need to be reported for 2020.

4. For lines 26 through 44 (also indicated with a Y), the funds from the Securian IRA were liquidated in October 2019 to pay for educational expenses and thus no longer need to be reported for 2020.

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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  
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Washington, D.C. 20544