

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 08/09/2021
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 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 219 South Dearborn Street Chambers 1788 Chicago, IL 60604		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**☐NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2020	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. 2020	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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Gettleman, Robert W.	08/09/2021

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.		
2.		
3.		
4.		
5.		

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. Bristol Myers Squibb Co.	A	Dividend	K	T					
10. ING Plus	A	Interest	J	T					
11. GE Money BK n/k/a Synchrony BK	A	Interest	J	T					
12. MS Bank CD	A	Interest	K	T					
13. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
14. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
15. Amer. FDS Cap. Bldrs.	C	Dividend	K	T					
16. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
17. U.S. Treas. Bonds	A	Interest	L	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

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	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)
18. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
19. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
20. Morgan Stanley European Growth	A	Dividend	K	T					
21. Morgan Standly Pacific Grouwth B	A	Dividend	J	T					
22. Bristol Myers Squibb Co.	A	Dividend	K	T					
23. Novartis AG ADR	A	Dividend	K	T					
24. Raytheon Co (New)	A	Dividend	K	T					
25. GMAC Bank CD	A	Dividend	J	T					
26. Intel Corp.	A	Dividend	K	T					
27. American Mutual A	A	Interest	J	T					
28. Columbia Global Value B	A	Dividend	J	T					
29. Goldman Sachs GRP Inc.	A	Dividend	K	T					
30. Morgan ST III Cum	A	Dividend	J	T					
31. Chicago Go-EsD BE	A	Dividend	K	T					
32. Duke Energy Corp	A	Dividend	K	T					
33. Waste Management	A	Dividend			Sold	01/23/20	K	C	
34. Verizon Comm	A	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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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)
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35. Calif St. Genl Oblig	A	Interest	J	T					
36. Thornburg Inv. Inc.	A	Dividend	J	T					
37. Will Cnty Ill Cmnty Cons Sch Dist. No. 30-C Ser B	A	Interest	J	T					
38. San Diego Cnty Calif Wtr Auth Fing Agy Wt Rev-A	A	Interest	J	T					
39. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
40. 3M Company (MMM)	A	Dividend	K	T					
41. Cisco Syst Inc (CSCO)	A	Dividend	K	T					
42. Wells Fargo & CO	A	Distribution	K	T					
43. Colgate Palmolive Co (CL)	A	Dividend	K	T					
44. Johnson & Johnson	A	Dividend	K	T					
45. Microsoft Corp (MSFT)	A	Dividend	K	T					
46. Weatherford International LTD (WTF)	A	Dividend	J	T					
47. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
48. Pennsylvania St. Build America Bond	A	Interest	J	T					
49. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
50. New York City Go Build America C-1	A	Interest	J	T					
51. Corning Inc (GLW)	A	Dividend	K	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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52. Facebook Inc CL-A (FB)	A	Dividend	M	T					
53. General Mtrs Co (GM)	A	Dividend	K	T					
54. Vanguard European MSCI ETF (VGK)	A	Dividend	J	T					
55. KKR & Co LLP (KKR)	A	Dividend	J	T					
56. MS US Inflation Linked Notes	A	Dividend	J	T					
57. Royal Bank of Scotland	A	Dividend	J	T					
58. Lloyds TSB Bank PLC	B	Dividend	J	T					
59. WP Carey Inc Com (WPC)	A	Dividend	J	T					
60. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
61. BCE 8.25% Contingent Autocall Dis (SQBKD)	A	Dividend	J	T					
62. BCS Contingent 9.6% Autocall on BABA (SPZKT)	A	Dividend	J	T					
63. Medical Properties Trust Inc (MPW)	A	Dividend	K	T					
64. PPL Corporation (PPL)	A	Dividend	J	T					
65. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
66. Twitter Inc (TWTR)	A	Dividend	J	T					
67. Alibaba Group (BABA)	A	Dividend	K	T					
68. Apple Inc (AAPL)	A	Dividend	J	T					

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69. Chevron	A	Dividend	K	T					
70. Northwest Bancshares	A	Dividend	K	T					
71. TMCC STE UP	A	Dividend	J	T					
72. Nike, Inc.	A	Dividend	J	T					
73. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					
74. Blackstone (BX)	A	Dividend	J	T					
75. China Life	A	Dividend	J	T					
76. Springfield ILL Wtr Rev	A	Dividend	J	T					
77. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Interest	J	T					
78. Fresno Calif Swr Rev Ser A	A	Interest	J	T					
79. San Mateo Calif Un High Sch Dist	A	Interest	J	T					
80. Orange Cnty Calif Santn Wastewater Rev Ref A	A	Interest	J	T					
81. Amgen Inc	A	Dividend	K	T					
82. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	K	T					
83. United Technologies Corp	A	Dividend	J	T					
84. Walt Disney Co Hldg Co (DIS)	A	Dividend	J	T					
85. Gabelli Utility Trust	A	Dividend	J	T					

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86. Pepsico Inc.	A	Dividend	J	T					
87. Nike, Inc.	A	Dividend	J	T					
88. Anheuser-Busch Inbev Fin	A	Dividend	J	T					
89. IShares MSCI Euro Financial	A	Dividend	J	T					
90. SPDR Global Dow ETF (DGT)	A	Dividend	J	T					
91. The India Fund Inc (FN)	A	Dividend	K	T					
92. Tortois Energy INFRA (TYG)	A	Dividend	K	T					
93. Vanguard FTSE Europe EFT (VGK)	A	Dividend	L	T					
94. Amazon (Bond)	A	Interest	J	T					
95. MS Dual Directional Trigger Plus on GDX SPUVL	A	Dividend	K	T					
96. MS Dual Directional Trigger Plus on SX5E (SPPVFK)	A	Dividend	K	T					
97. HSBC Continent 8.3% autocall	A	Dividend	K	T					
98. Kranesh Bosera MSCI China A (KBA)	A	Dividend	K	T					
99. Kraneshares CSI China Internet (KWEB)	A	Interest	K	T					
100. Cook Cnty ILL Genl Oblig Ref	B	Interest	K	T					
101. Cook Cnty Ill Sch Dist No. 084 1/2	B	Interest	K	T					
102. City of Chicago Second Lien Wstwr Transm Rev	C	Interest	K	T					

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103. Los Angeles Calif Dept Arpts Artp Snr Rev Ser-D	A	Interest	K	T					
104. Ventura Cnty Calif Cmnty College Dist Ref	A	Interest	K	T					
105. Citigroup INC FXD to 012023 Var Thereafter 5.9500%	B	Interest	K	T					
106. Citigroup Inc FXD to 112019 VAR Thereafter 5.800%	B	Interest	K	T					
107. Capital One Financial Corp.	A	Interest	K	T					
108. Natwest Marketsk PLC	A	Interest	K	T					
109. The Financial Sel Sect SPDR FD (XLF)	A	Interest	K	T					
110. Chicago City Ill Second Lien WTR Rev Proj & Ref	B	Interest	K	T					
111. State of California Genl Oblig Ref-B	B	Interest	K	T					
112. Coca Cola Co (KO)	A	Dividend	K	T					
113. Crown Castle Intl Corp (CCI)	A	Dividend	K	T					
114. Brighthouse Financial 6.60-A (BHFAP)	A	Interest	K	T					
115. Digital Realty Trst 5.850-K (DLR.K)	A	Interest	K	T					
116. Keycorp 5.65% Ser-G (KEY.K)	A	Interest	K	T					
117. Oaktree Cap Grp LLC (OAK.A)	A	Dividend	K	T					
118. PS Business Parks Inc.	A	Dividend	K	T					
119. Vaneck Vectors Gold Mines	A	Dividend	K	T					

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120. Aegon Funding Corp LLC	A	Dividend	K	T					
121. Ford Motor Co.	A	Dividend	K	T					
122. WR Berkley Corp	A	Dividend	K	T					
123. Sempra Energy	A	Dividend	K	T					
124. South Jersey Industries, Inc.	A	Dividend	K	T					
125. Apollo Global Mgmt Inc.	A	Dividend	K	T					
126. BCS Buffered Plus on ASHR (SQALU)	A	Dividend	K	T					
127. BCS Buffered Plus on SPX (SQACE)	A	Dividend	K	T					
128. BCS Buffered Plus on SX5E (SQAFZ)	A	Dividend	K	T					
129. Aspen Insurance Holdings	A	Dividend	K	T					
130. IShares Core MSCI EAFE ETF (IFA)	A	Dividend	J	T	Buy	12/04/20	J		
131. IShares Core MSCI Emerging (IEMG)	A	Dividend	J	T	Buy	12/04/20	J		
132. IShares IBOXX HY COR BD EFT	A	Dividend	J	T	Buy	12/04/20	J		
133. IShares Russell 1000 GRW EFT (IWF)	A	Dividend	J	T	Buy	12/04/20	J		
134. IShare Russell 2000 Value ETF (IWN)	A	Dividend	J	T	Buy	12/04/20	J		
135. IShares Russell Midcap G EFT (IWP)	A	Dividend	J	T	Buy	12/04/20	J		
136. IShares Russell Midcap V ETF (IWS)	A	Dividend	J	T	Buy	12/04/20	J		

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)
137. Pimco Enhanced SHRT MTRT EXC (MINT)	A	Dividend	J	T	Buy	12/04/20	J		
138. Athene Holding Ltd.	A	Dividend	J	T	Buy	06/04/20	J		
139. First Republic BK 4.7% Ser-J (FRCJ)	A	Dividend	K	T	Buy	11/25/20	K		
140. MetLife Inc. 4/7% F ((Met.F)	A	Dividend	K	T	Buy	01/07/20	K		
141. MS 8% Contingent Autocall BAC (SQBXA)	A	Dividend	K	T	Buy	01/07/20	K		
142. MS 9.65% Contingent Autocall C (SQBYJ)	A	Dividend	K	T	Buy	01/27/20	K		
143. MS 9.75% Contingent Autocall AAPL (SQDKQ)	A	Dividend	K	T	Buy	10/26/20	K		
144. USB 8.25% Contingent Autocall WMT (SQDJU)	A	Dividend	K	T	Buy	10/19/20	J		
145. VISA Inc. CL A (V)	A	Dividend	K	T	Buy	03/02/20	J		
146. Blackrock CAP Allocation TR (BCAT)	B	Dividend	K	T	Buy	01/07/20	K		
147. Blackrock Heaalth Sciencs TR II (BMEZ)	B	Dividend	K	T	Buy	01/07/20	K		
148. First TR High Yield Opprt 2027(FTHY	B	Dividend	K	T	Buy	01/07/20	J		
149. Invesco High Inc. 2024 Target (IHTA)	B	Dividend	K	T	Buy	01/07/20	K		
150. American Financial Group 5.625% (AFGD)	B	Interest	K	T	Buy	06/04/20	J		
151. Generl Electric Co. FXD to 012021 Var Thrafr 5.0000	A	Interest	J	T	Buy	01/20/20	J		
152. Nuveen MUN CR Opportunities FD (NMCP)	B	Interest	K	T	Buy	09/17/20	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/09/2021

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/09/2021

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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Washington, D.C. 20544