

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 07/27/2017
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
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. 2016	CCTO Production Partnership (passive limited partnership interest in oil and gas production; .008290% interest).
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. 2016	Northwestern University School of Law; taught courses	\$4,000.00
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. 2016	LCSW, Private Social Work Practice
2. 2016	Teachers' Retirement Pension
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Citibank (Chicago)	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	J	T					
6. Illinois St. Gen. Oblig. (Bond)	A	Interest	J	T					
7. Ill. Health Facs. Auth. (Bond)	A	Interest	J	T					
8. CCTO Production Partnership	B	Distribution	K	T					
9. Sacred Silks	A	Interest	J	T					
10. Eldorado Gold CP	A	Dividend	J	T					
11. Bristol Myers Squibb Co.	A	Dividend	J	T					
12. ING Plus	A	Interest	J	T					
13. GE Money BK	A	Interest	J	T					
14. MS Bank CD	A	Interest	J	T					
15. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
16. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
17. BB&T Corporation	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 –\$250,001 - \$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. Amer. FDS Cap. Bldrs.	C	Dividend	K	T					
19. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
20. U.S. Treas. Bonds	A	Interest	L	T					
21. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
22. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
23. Morgan Stanley European Growth	A	Dividend	K	T					
24. Morgan Standly Pacific Growth B	A	Dividend	J	T					
25. Bristol Myers Squibb Co.	A	Dividend	J	T					
26. Novartis AG ADR	A	Dividend	J	T					
27. Raytheon Co (New)	A	Dividend	J	T					
28. GMAC Bank CD	A	Dividend	J	T					
29. Eli Lilly & Co.	A	Dividend	J	T					
30. Intel Corp.	A	Dividend	J	T					
31. Isis Pharm Inc.	A	Dividend			Sold	02/03/16	J	A	
32. Sanofi Aventis Ads	A	Dividend	J	T					
33. American Mutual A	A	Interest	J	T					
34. Columbia Global Value B	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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35. Echelon	A	Dividend	J	T					
36. Goldman Sachs GRP Inc.	A	Dividend	J	T					
37. Market Vectors Gold Mines	A	Dividend	J	T					
38. Morgan ST III Cum	A	Dividend	J	T					
39. Chicago Go-EsD BE	A	Dividend	J	T					
40. Duke Energy Corp	A	Dividend	J	T					
41. Genuine Parts Co.	A	Dividend	J	T					
42. IBM	A	Dividend	J	T					
43. Proctor & Gamble	A	Dividend	J	T					
44. Waste Management	A	Dividend	J	T					
45. Aqua Amer Inc	A	Dividend	J	T					
46. Kansas City Life Ins.	A	Dividend	J	T					
47. Verizon Comm	A	Dividend	J	T					
48. Calif St. Genl Oblig	A	Dividend	J	T					
49. Thornburg Inv. Inc.	A	Dividend	J	T					
50. Giga Tronics (GUGA)	A	Dividend	J	T					
51. Albuquerque Bernalillo Cnty Wtr Util Au N M JT WTR Rev-A-1	A	Interest	J	T					

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52. Will Cnty Ill Cmnty Cons Sch Dist. No. 30-C Ser B	A	Interest	J	T					
53. Baltimore Cnty MD Genl Oblig Ref Met Dist	A	Interest	J	T					
54. San Diego Cnty Calif Wtr Auth Fing Agy Wt Rev-A	A	Interest	J	T					
55. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
56. 3M Company (MMM)	A	Dividend	J	T					
57. AGL Resources IN (GAS)	A	Distribution	J	T					
58. Amer Nat Ins Co (ANAT)	A	Dividend	J	T					
59. Cisco Syst Inc (CSCO)	A	Dividend	J	T					
60. Clorox CO DE (CLX)	A	Dividend	J	T					
61. Colgate Palmolive Co (CL)	A	Dividend	J	T					
62. Compass Div TR SHS Beneficial (CODI)	A	Dividend	J	T					
63. Covidien PLC New (COV)	A	Distribution	J	T					
64. Health Cre Reit Inc (HCN)	A	Dividend	J	T					
65. Johnson & Johnson	A	Dividend	J	T					
66. Microsoft Corp (MSFT)	A	Dividend	J	T					
67. Monsanto CO/New (MON)	A	Dividend	J	T					
68. United Fire & Casualty (UFCS)	A	Dividend	J	T					

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69. Weatherford International LTD (WTF)	A	Dividend	J	T					
70. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
71. Pennsylvania St. Build America Bond	A	Interest	J	T					
72. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
73. New York City Go Build America C-1	A	Interest	J	T					
74. Alcoa Inc (AA)	A	Interest	J	T					
75. Aqua Ameri Inc (WTR)	A	Dividend	J	T					
76. Corning Inc (GLW)	A	Dividend	J	T					
77. Encana Corp (ECA)	A	Dividend	J	T					
78. Facebook Inc CL-A (FB)	A	Dividend	J	T					
79. General Mtrs Co (GM)	A	Dividend	J	T					
80. Isis Pharm Inc (ISIS)	A	Dividend	J	T					
81. KB Home (KBH)	A	Dividend	J	T					
82. Merck & Co Inc New Com (MRK)	A	Dividend	J	T					
83. Mercury Genl CP New (MCY)	A	Dividend	J	T					
84. Paramount Gold & Silver Corp (PZG)	A	Dividend	J	T					
85. Statoil Asa ADR (STO)	A	Dividend	J	T					

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86. Vanguard European MSCI ETF (VGK)	A	Dividend	J	T					
87. Newmont Mining Corp (New) (NEM)	A	Dividend	J	T					
88. ABB LTD (ABB)	A	Dividend	J	T					
89. Aircastle Limited (AYR)	A	Distribution	J	T					
90. Hess Corporation	A	Dividend	J	T					
91. KKR & Co LLP (KKR)	A	Dividend	J	T					
92. Mannkind Corp (MNKD)	A	Dividend	J	T					
93. Newmont Mining Corp (New)(NEM)	A	Dividend	J	T					
94. Nippon Telegraph & Telephone ADS	A	Dividend	J	T					
95. United STS STL CP (New) (X)	A	Dividend	J	T					
96. MS US Inflation Linked Notes	A	Dividend	J	T					
97. Royal Bank of Scotland	A	Dividend	J	T					
98. LLoyds TSB Bank PLC	A	Dividend	J	T					
99. Calamos Asset Mgmt Inc CL-A (CLMS)	A	Dividend	J	T					
100. WP Carey Inc Com (WPC)	A	Dividend	J	T					
101. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
102. Kyocera CO ADR (KYO)	A	Dividend	J	T					

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103. Medical Properties Trust Inc (MPW)	A	Dividend	J	T					
104. Palo Alto Networks, Inc. (PANW)	A	Dividend	J	T					
105. PPL Corporation (PPL)	A	Dividend	J	T					
106. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
107. Twitter Inc (TWTR)	A	Dividend	J	T					
108. Alibaba Group (BABA)	A	Dividend	J	T					
109. Apple Inc (AAPL)	A	Dividend	J	T					
110. Chevron	A	Dividend	J	T					
111. Northwest Bancshares	A	Dividend	J	T					
112. TMCC STE UP	A	Dividend	J	T					
113. Nike, Inc.	A	Dividend	J	T					
114. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					
115. Blackstone (BX)	A	Dividend	J	T					
116. Eaton Corp.	A	Dividend	J	T					
117. China Life	A	Dividend	J	T					
118. Springfield ILL Wtr Rev	A	Dividend	J	T	Buy	09/29/16	J		
119. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Dividend	J	T	Buy	11/04/16	J		

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	(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. Fresno Calif Swr Rev Ser A	A	Dividend	J	T	Buy	11/24/16	J		
121. San Mateo Calif Un High Sch Dist	A	Dividend	J	T	Buy	11/04/16	J		
122. Orange Cnty Calif Santr Wastewater Rev Ref A	A	Dividend	J	T	Buy	12/07/16	J		
123. Whole Foods	A	Dividend	J	T	Buy	12/07/16	J		
124. Amgen Inc	A	Dividend	J	T	Buy	03/10/16	J		
125. Arconic Inc (ARNC)	A	Dividend	J	T	Buy	02/03/16	J		
126. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	J	T	Buy	09/06/16	J		
127. United Technologies Corp	A	Dividend	J	T	Buy	03/16/16	J		
128. Walt Disney Co Hldg Co (DIS)	A	Dividend	J	T	Buy	01/11/16	J		
129. Welltower Inc (HCN)	A	Dividend	J	T	Buy	02/09/16	J		
130. Gabelli Utility Trust	A	Dividend	J	T	Buy	03/16/16	J		
131. Public Strg Dep Shs PF	A	Dividend	J	T	Buy	03/16/16	J		
132. Pepsico Inc.	A	Dividend	J	T	Buy	03/01/16	J		
133. Nike, Inc.	A	Dividend	J	T	Buy	05/03/16	J		
134. Anheuser-Busch Invev Fin	A	Dividend	J	T	Buy	02/01/16	J		
135. Legg Mason Inc	A	Dividend	J	T	Buy	09/15/16	J		
136. Entergy Mississippi Inc	A	Dividend	J	T	Buy	10/03/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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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Name of Person Reporting

Gettleman, Robert W.

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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)
137. Dominion Resources Inc	A	Dividend	J	T	Buy	07/28/16	J		

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

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

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Name of Person Reporting

Gettleman, Robert W.

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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 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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