

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Dow, Jr., Robert M.	2. Court or Organization U.S. District Court, Northern District of Illinois	3. Date of Report 05/13/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge -- Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address E.M. Dirksen U.S. Courthouse 219 South Dearborn Street, Room 1978 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. 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.	

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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.)*

DATE	SOURCE AND TYPE	INCOME (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.)*

DATE	SOURCE AND TYPE
1. 2015	Bailey & Glasser LLP -- income as partner at law firm
2. 2015	State of Illinois -- income as Associate Judge for 12th Judicial Circuit of Illinois
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bar Association	6/19/2015	San Francisco, CA	ABA conference on class actions	transportation, meals
2. Association for American Justice	7/11/2015 - 7/12/2015	Montreal, QC	AAJ annual meeting panel on Rule 23 proposed amendments	transportation, meals, lodging
3. Defense Research Institute	7/23/2015 - 7/24/2015	Washington, DC	DRI annual meeting panel on Rule 23 proposed amendments	transportation, meals, lodging
4. Duke University Law School	10/7/2015- 10/8/2015	Durham NC	Conference on MDL and aggregate litigation	transportation, meals, lodging
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.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Chase Bank	credit card	K
2.	Target	credit card	J
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. Northern Trust Bank accounts	A	Interest	J	T					
2. Northern Trust Bank IRA (CD)	A	Interest	J	T					
3. First Community Bank accounts (X)	A	Interest	J	T					
4. Prudential Individual Retirement Annuity									
5. -- AST Academic Strategies Asset Allocation		None	L	T	Sold (part)	8/20/15	K		
6.					Sold (part)	08/24/15	K		
7.					Sold (part)	12/11/15	J		
8.					Sold (part)	12/26/15	J		
9. -- AST Prudential Growth Allocation Portfolio		None	L	T	Sold (part)	08/20/15	K		
10.					Sold (part)	08/24/15	K		
11.					Sold (part)	12/11/15	K		
12.					Sold (part)	12/26/15	J		
13. -- AST Bond Portfolio 2023 (Y)									
14. -- AST Bond Portfolio 2025		None	N	T	Buy	08/20/15	M		
15.					Buy (add'l)	08/24/15	M		
16.					Buy (add'l)	12/11/15	L		
17.					Sold (part)	12/26/15	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 H ~\$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 ~\$250,000,001 - \$500,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000,000	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. -- AST Capital Growth Asset Allocation Portfolio		None	L	T	Sold (part)	08/20/15	K		
19.					Sold (part)	08/24/15	K		
20.					Sold (part)	12/11/15	K		
21.					Sold (part)	12/11/15	J		
22. -- AST Franklin Templeton Founding Funds Plus Portfolio		None			Sold (part)	08/20/15	K		
23.					Sold (part)	08/24/15	J		
24.					Sold	10/16/15	L		
25. -- AST Schroders Global Tactical Portfolio		None	M	T	Sold (part)	08/20/15	K		
26.					Sold (part)	08/24/15	K		
27.					Buy (add'l)	10/16/15	L		
28.					Sold (part)	12/11/15	K		
29.					Sold (part)	12/26/15	J		
30. -- AST RCM World Trends Portfolio		None	K	T	Buy	10/16/15	L		
31.					Sold (part)	12/11/15	J		
32.					Sold (part)	12/26/15	J		
33. -- AST Schroders Multi-Asset World Strategies Portfolio		None			Sold (part)	08/20/15	K		
34.					Sold (part)	08/24/15	K		

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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	
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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				
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35.					Sold	10/16/15	L		
36. Harris Bank accounts	A	Interest	J	T					
37. GCG Mutual Fund									
38. -- American Funds Euro Pacific Growth	A	Dividend	J	T					
39. -- American Funds Fundamental Investors	A	Dividend	J	T					
40. -- American Funds Small Cap World Fund	A	Dividend	J	T					
41. -- American Funds Bond Fund of America	A	Dividend	J	T					
42. -- American Funds Growth Fund of America	A	Dividend	J	T					
43. GCG 529 Fund #1									
44. -- EuroPacific Growth Fund 529A	A	Dividend	J	T					
45. -- American Funds New Economy Fund	A	Dividend	K	T					
46. -- AMCAP Fund -- 529A	A	Dividend	J	T					
47. -- American Balanced Fund -- 529A	A	Dividend	J	T					
48. -- Capital Income Builder -- 529A	A	Dividend	J	T					
49. GCG 529 Fund #2									
50. -- American Funds Capital World G/I 529A	A	Dividend	K	T					
51. -- American Funds Growth Fund of America 529A	A	Dividend	K	T					

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52. GCG 529 Fund #3									
53. -- New Perspective Fund 529A	A	Dividend	K	T					
54. -- American Funds Fundamental Investors 529A	A	Dividend	K	T					
55. GCG 529 Fund #4									
56. -- American Funds SmallCap World Fund 529A	A	Dividend	J	T					
57. -- American Funds Capital Income Builder 529A	A	Dividend	J	T					
58. TD Ameritrade (HSA Bank)		None	J	T					
59. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
60. MSJI Inc. Common Stock (Y)									
61. Buffalo International Fund #1449	A	Dividend	K	T	Buy (add'l)	01/06/15	J		
62.					Buy (add'l)	12/21/15	J		
63. Buffalo Balanced (Flexible Income) Fund	A	Dividend	K	T	Buy (add'l)	01/23/15	J		
64.					Buy (add'l)	02/20/15	J		
65.					Buy (add'l)	03/19/15	J		
66.					Buy (add'l)	04/22/15	J		
67.					Buy (add'l)	05/21/15	J		
68.					Buy (add'l)	06/22/15	J		

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69.					Buy (add'l)	07/22/15	J		
70.					Buy (add'l)	08/20/15	J		
71.					Buy (add'l)	09/22/15	J		
72.					Sold (part)	09/29/15	J		
73.					Buy (add'l)	10/22/15	J		
74.					Buy (add'l)	11/19/15	J		
75.					Buy (add'l)	12/21/15	J		
76. Buffalo Small Cap Fund	A	Dividend	J	T	Buy (add'l)	12/21/15	J		
77.					Sold (part)	09/29/15	J		
78. Buffalo Science & Tech (Discovery) Fund	A	Dividend	K	T	Buy (add'l)	12/21/15	J		
79.					Sold (part)	09/29/15	J		
80. Buffalo Large Cap Fund	A	Dividend	K	T	Buy (add'l)	12/21/15	J		
81.					Sold (part)	09/29/15	J		
82. Buffalo USA Growth Fund	A	Dividend	K	T	Buy (add'l)	12/21/15	J		
83.					Sold (part)	09/29/15	J		
84. Northern Inst. Tax -Exempt		None	J	T					
85. Bailey & Glasser 401k Profit Sharing Plan (spouse)									

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86. -- Goldman Sachs Growth Opp Cl I0	A	Int./Div.			Distributed	10/29/15	K		
87. -- Prud Jenn Natural Resources A	A	Int./Div.			Distributed	10/29/15	J		
88. -- Oppenheimer Developing Markets A	A	Int./Div.			Distributed	10/29/15	K		
89. -- American Funds Cap Wld Gr Inc R3	A	Int./Div.			Distributed	10/29/15	K		
90. -- Nuveen Small Cap Index A	A	Int./Div.			Distributed	10/29/15	K		
91. Securian Rollover IRA Account									
92. -- Federated Prime Cash Oblig Svc	A	Interest	J	T	Buy	11/11/15	J		
93. -- Invesco Convertible Sec Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
94. -- Dodge & Cox Intl Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
95. -- Goldman Sachs Mid-Cap Value Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
96. -- Harbor Intl Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
97. -- Homestead Value Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
98. -- JP Morgan Small-Cap Growth Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
99. -- Loomis Sayles Strat Income Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
100. -- MFS Intl New Discovery Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
101. -- Northern Small Cap Value Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
102. -- Oppenheimer Developing Markets	A	Int./Div.	J	T	Buy	11/11/15	J		

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103. -- Primecap Odyssey Growth Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
104. -- Principal High Yield Fund Class P	A	Int./Div.	J	T	Buy	11/11/15	J		
105. -- Prudential Global Real Estate Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
106. -- T Rowe Price Blue Chip Growth	A	Int./Div.	J	T	Buy	11/11/15	J		
107. -- Templeton Global Bond Fund Advisor	A	Int./Div.	J	T	Buy	11/11/15	J		
108. -- Van Eck Global Hard Assets Fund	A	Int./Div.	J	T	Buy	11/11/15	J		
109. Sequella, Inc.		None	M	T					
110. IRX Therapeutics, Inc.		None	L	T					

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

5.24Part VII:

1. Lines 4, 37, 43, 49, 52, 55, 85, and 90 are headers for various funds -- the individual holdings of each fund, values, and transactions are reported in the lines below each header.

2. For line 58, the HSA account with TD Ameritrade (HSA Bank) has a zero balance and will be closed during 2016.

3. For lines 5-35, the trades between the various Prudential accounts take place to keep a guaranteed minimum value in the account.

4. For lines 25 and 60, the (Y) indicates an asset that was closed in 2014 and thus no longer needs to be reported in 2015.

5. For lines 85-90, my spouse resigned as a partner in her law firm during 2015 to take a position as a state court judge. After her departure, her 401K account was distributed and then rolled over into a new IRA account.

6. For lines 91-108, this is my spouse's new rollover IRA account where she deposited the funds from the 401K plan at her former law firm.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Dow, Jr., Robert M.

Date of Report

05/13/2016

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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