

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/13/2019
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 01/01/2018 to 12/31/2018
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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. 2018	Northwestern University School of Law; taught courses	\$5,000.00
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. 2018	LCSW, Private Social Work Practice
2. 2018	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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 13

Name of Person Reporting
Gettleman, Robert W.

Date of Report
08/13/2019

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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	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. Eldorado Gold CP	A	Dividend	J	T					
10. Bristol Myers Squibb Co.	A	Dividend	K	T					
11. ING Plus	A	Interest	J	T					
12. GE Money BK n/k/a Synchrony BK	A	Interest	J	T					
13. MS Bank CD	A	Interest	K	T					
14. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
15. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
16. BB&T Corporation	A	Dividend	J	T					
17. Amer. FDS Cap. Bldrs.	C	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
19. U.S. Treas. Bonds	A	Interest	L	T					
20. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
21. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
22. Morgan Stanley European Growth	A	Dividend	K	T					
23. Morgan Standly Pacific Grouwth B	A	Dividend	J	T					
24. Bristol Myers Squibb Co.	A	Dividend	K	T					
25. Novartis AG ADR	A	Dividend	K	T					
26. Raytheon Co (New)	A	Dividend	K	T					
27. GMAC Bank CD	A	Dividend	J	T					
28. Eli Lilly & Co.	A	Dividend	K	T					
29. Intel Corp.	A	Dividend	K	T					
30. American Mutual A	A	Interest	J	T					
31. Columbia Global Value B	A	Dividend	J	T					
32. Goldman Sachs GRP Inc.	A	Dividend	K	T					
33. Market Vectors Gold Mines	A	Dividend	J	T					
34. Morgan ST III Cum	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)

35. Chicago Go-EsD BE	A	Dividend	K	T					
36. Duke Energy Corp	A	Dividend	K	T					
37. Genuine Parts Co.	A	Dividend	J	T					
38. IBM	A	Dividend	K	T					
39. Proctor & Gamble	A	Dividend	K	T					
40. Waste Management	A	Dividend	J	T					
41. Aqua Amer Inc	A	Dividend	J	T					
42. Verizon Comm	A	Dividend	K	T					
43. Calif St. Genl Oblig	A	Dividend	J	T					
44. Thornburg Inv. Inc.	A	Dividend	J	T					
45. Will Cnty Ill Cmnty Cons Sch Dist. No. 30-C Ser B	A	Interest	J	T					
46. San Diego Cnty Calif Wtr Auth Fing Agy Wt Rev-A	A	Interest	J	T					
47. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
48. 3M Company (MMM)	A	Dividend	K	T					
49. Cisco Syst Inc (CSCO)	A	Dividend	K	T					
50. Clorox CO DE (CLX)	A	Dividend			Sold	03/08/18	J	A	
51. Wells Fargo & CO	A	Distribution	K	T	Buy	02/05/18	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)
52. Colgate Palmolive Co (CL)	A	Dividend	K	T					
53. Johnson & Johnson	A	Dividend	K	T					
54. Microsoft Corp (MSFT)	A	Dividend	K	T					
55. Monsanto CO/New (MON)	A	Dividend			Sold	03/08/18	J	A	
56. Weatherford International LTD (WTF)	A	Dividend	J	T					
57. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
58. Pennsylvania St. Build America Bond	A	Interest	J	T					
59. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
60. New York City Go Build America C-1	A	Interest	J	T					
61. Alcoa Inc (AA)	A	Interest	J	T					
62. Corning Inc (GLW)	A	Dividend	K	T					
63. Facebook Inc CL-A (FB)	A	Dividend	M	T					
64. General Mtrs Co (GM)	A	Dividend	K	T					
65. KB Home (KBH)	A	Dividend			Sold	05/09/18	J	A	
66. Vanguard European MSCI ETF (VGK)	A	Dividend	J	T					
67. Newmont Mining Corp (New) (NEM)	A	Dividend	J	T					
68. Hess Corporation	A	Dividend			Sold	04/11/18	J	A	

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	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	P3 = \$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)
69. KKR & Co LLP (KKR)	A	Dividend	J	T					
70. Mannkind Corp (MNKD)	A	Dividend	J	T					
71. United STS STL CP (New) (X)	A	Dividend	J	T					
72. MS US Inflation Linked Notes	A	Dividend	J	T					
73. Royal Bank of Scotland	A	Dividend	J	T					
74. LLoyds TSB Bank PLC	B	Dividend	J	T					
75. WP Carey Inc Com (WPC)	A	Dividend	J	T					
76. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
77. Medical Properties Trust Inc (MPW)	A	Dividend	K	T					
78. PPL Corporation (PPL)	A	Dividend	J	T					
79. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
80. Twitter Inc (TWTR)	A	Dividend	J	T					
81. Alibaba Group (BABA)	A	Dividend	K	T					
82. Apple Inc (AAPL)	A	Dividend	J	T					
83. Chevron	A	Dividend	K	T					
84. Northwest Bancshares	A	Dividend	K	T					
85. TMCC STE UP	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)

86. Nike, Inc.	A	Dividend	J	T					
87. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					
88. Blackstone (BX)	A	Dividend	J	T					
89. Eaton Corp.	A	Dividend	J	T					
90. China Life	A	Dividend	J	T					
91. Springfield ILL Wtr Rev	A	Dividend	J	T					
92. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Dividend	J	T					
93. Fresno Calif Swr Rev Ser A	A	Dividend	J	T					
94. San Mateo Calif Un High Sch Dist	A	Dividend	J	T					
95. Orange Cnty Calif Santn Wastewater Rev Ref A	A	Dividend	J	T					
96. Amgen Inc	A	Dividend	K	T					
97. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	K	T					
98. United Technologies Corp	A	Dividend	J	T					
99. Walt Disney Co Hldg Co (DIS)	A	Dividend	J	T					
100. Welltower Inc (HCN)	A	Dividend	J	T					
101. Gabelli Utility Trust	A	Dividend	J	T					
102. Pepsico Inc.	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)
103. Nike, Inc.	A	Dividend	J	T					
104. Anheuser-Busch Inbev Fin	A	Dividend	J	T					
105. iShares MSCI Euro Financial	A	Dividend	J	T					
106. SPDR Global Dow ETF (DGT)	A	Dividend	J	T					
107. The India Fund Inc (FN)	A	Dividend	K	T					
108. Tortois Energy INFRA (TYG)	A	Dividend	K	T					
109. Vanguard FTSE Europe EFT (VGK)	A	Dividend	L	T					
110. Amazon (Bond)	A	Interest	J	T					
111. MS Dual Directional Trigger Plus on GDX SPUVL	A	Dividend	K	T					
112. MS Dual Directional Trigger Plus on SX5E (SPPVFK)	A	Dividend	K	T					
113. HSBC Continent 8.3% autocall	A	Interest	K	T					
114. Kranesh Boser MSCI China A (KBA)	A	Interest	K	T	Buy	12/18/18	J		
115. Kraneshares CSI China Internet (KWEB)	A	Interest	K	T	Buy	06/13/18	J		
116. Cook Cnty ILL Genl Oblig Ref	B	Interest	K	T	Buy	02/13/18	J		
117. Cook Cnty Ill Sch Dist No. 084 1/2	B	Interest	K	T	Buy	06/27/18	J		
118. City of Chicago Second Lien Wstwr Transm Rev	C	Interest	K	T	Buy	10/04/18	J		
119. Los Angeles Calif Dept Arpts Artp Snr Rev Ser-D	A	Interest	K	T	Buy	02/22/18	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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)
120. Ventura Cnty Calif Cmnty College Dist Ref	A	Interest	K	T	Buy	05/14/18	J		
121. Citigroup INC FXD to 012023 Var Thereafter 5.9500%	B	Interest	K	T	Buy	01/30/18	J		
122. Citigroup Inc FXD to 112019 VAR Thereafter 5.800%	B	Interest	K	T	Buy	01/30/18	J		
123. Capital One Financial Corp.	A	Interest	K	T	Buy	04/12/18	J		
124. Natwest Marketsk PLC	A	Interest	K	T	Buy	01/11/18	J		
125. The Financial Sel Sect SPDR FD (XLF)	A	Interest	K	T	Buy	03/01/18	J		
126. Chicago City Ill Second Lien WTR Rev Proj & Ref	B	Interest	K	T	Buy	11/01/18	J		
127. State of California Genl Oblig Ref-B	B	Interest	K	T	Buy	03/01/18	J		
128.									

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	

Name of Person Reporting	Date of Report
Gettleman, Robert W.	08/13/2019

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

Gettleman, Robert W.

Date of Report

08/13/2019

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544