

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 05/14/2018
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 01/01/2017 to 12/31/2017
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. 2017	State of Illinois -- income as Associate Judge for 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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Institute for Law and Economic Policy	4/20/17 to 4/21/17	Naples, FL	Attend and present at conference on class action litigation	transportation, food, lodging
2. Duke University Law School	5/4/17 to 5/5/17	Dallas, TX	Attend conference on discovery rules	transportation, food, lodging
3. Defense Research Institute	7/20/17 to 7/21/17	Washington, DC	Attend and present at conference on class action rules amendments	transportation, food, lodging
4. Emory University Law School	9/14/17 to 9/15/17	Atlanta, GA	Attend conference on mass and class litigation	transportation, food, lodging

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5.	American Bar Association	10/25/17 to 10/26/17	Washington, DC	Attend and present at class action conference	transportation, food, lodging
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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 I (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	A	Interest	J	T					
4. Prudential Individual Retirement Annuity									
5. -- AST Academic Strategies Asset Allocation		None	J	T	Sold (part)	12/26/17	J		
6.					Buy (add'l)	12/26/17	J		
7. -- AST Prudential Growth Allocation Portfolio		None	L	T	Buy (add'l)	04/28/17	K		
8.					Buy (add'l)	12/26/17	K		
9.					Sold (part)	12/26/17	L		
10. -- AST Bond Portfolio 2025		None	O	T	Buy (add'l)	12/26/17	O		
11.					Sold (part)	12/26/17	O		
12. -- AST Capital Growth Asset Allocation Portfolio		None	K	T	Sold (part)	12/26/17	K		
13.					Buy (add'l)	12/26/17	K		
14. -- AST Schroders Global Tactical Portfolio		None			Sold	04/28/17	N		
15. -- AST RCM World Trends Portfolio		None	J	T	Sold (part)	12/26/17	J		
16.					Buy (add'l)	12/26/17	J		
17. Harris Bank accounts	A	Interest	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	

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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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18. GCG Mutual Fund									
19. -- American Funds Euro Pacific Growth	A	Dividend	J	T					
20. -- American Funds Fundamental Investors	A	Dividend	J	T					
21. -- American Funds Small Cap World Fund	A	Dividend	J	T					
22. -- American Funds Bond Fund of America	A	Dividend	J	T					
23. -- American Funds Growth Fund of America	A	Dividend	J	T					
24. GCG 529 Fund #1									
25. -- EuroPacific Growth Fund 529A	A	Dividend	J	T					
26. -- American Funds New Economy Fund	A	Dividend	J	T					
27. -- AMCAP Fund -- 529A	A	Dividend	J	T					
28. -- American Balanced Fund -- 529A	A	Dividend	J	T					
29. -- Capital Income Builder -- 529A	A	Dividend	J	T					
30. GCG 529 Fund #2									
31. -- American Funds Capital World G/I 529A	A	Dividend	K	T					
32. -- American Funds Growth Fund of America 529A	A	Dividend	K	T					
33. GCG 529 Fund #3									
34. -- New Perspective Fund 529A	A	Dividend	K	T					

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35. -- American Funds Fundamental Investors 529A	A	Dividend	K	T					
36. GCG 529 Fund #4									
37. -- American Funds SmallCap World Fund 529A	A	Dividend	K	T					
38. -- American Funds Capital Income Builder 529A	A	Dividend	K	T					
39. TD Ameritrade (HSA Bank)		None	J	T					
40. Sauk Valley Community Bank Common Stock	A	Dividend	J	T					
41. Buffalo International Fund #1449	A	Dividend	J	T	Buy (add'l)	12/21/17	J		
42.					Sold (part)	04/12/17	J		
43.					Sold (part)	05/01/17	J		
44.					Sold (part)	06/28/17	J		
45.					Sold (part)	09/26/17	J		
46.					Sold (part)	10/03/17	J		
47.					Sold (part)	10/24/17	J		
48.					Sold (part)	12/19/17	J		
49. Buffalo Balanced (Flexible Income) Fund	A	Dividend	J	T	Buy (add'l)	01/18/17	J		
50.					Buy (add'l)	02/23/17	J		
51.					Buy (add'l)	03/22/17	J		

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52.					Buy (add'l)	04/20/17	J		
53.					Buy (add'l)	05/22/17	J		
54.					Buy (add'l)	06/22/17	J		
55.					Buy (add'l)	07/20/17	J		
56.					Buy (add'l)	08/22/17	J		
57.					Buy (add'l)	09/21/17	J		
58.					Sold (part)	04/12/17	J		
59.					Buy (add'l)	10/20/17	J		
60.					Buy (add'l)	11/22/17	J		
61.					Buy (add'l)	12/21/17	J		
62.					Sold (part)	04/12/17	J		
63.					Sold (part)	05/01/17	J		
64.					Sold (part)	06/28/17	J		
65.					Sold (part)	09/26/17	J		
66.					Sold (part)	10/03/17	J		
67.					Sold (part)	10/24/17	J		
68.					Sold (part)	12/19/17	J		

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69. Buffalo Small Cap Fund	A	Dividend	J	T	Buy (add'l)	12/19/17	J		
70.					Sold (part)	04/12/17	J		
71.					Sold (part)	05/01/17	J		
72.					Sold (part)	06/28/17	J		
73.					Sold (part)	09/26/17	J		
74.					Sold (part)	10/03/17	J		
75.					Sold (part)	10/24/17	J		
76.					Sold (part)	12/19/17	J		
77. Buffalo Science & Tech (Discovery) Fund	A	Dividend	J	T	Buy (add'l)	12/21/17	J		
78.					Sold (part)	04/12/17	J		
79.					Sold (part)	05/01/17	J		
80.					Sold (part)	06/28/17	J		
81.					Sold (part)	09/26/17	J		
82.					Sold (part)	10/03/17	J		
83.					Sold (part)	10/24/17	J		
84.					Sold (part)	12/19/17	J		
85. Buffalo Large Cap Fund	A	Dividend	J	T	Buy (add'l)	12/21/17	J		

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86.					Sold (part)	04/12/17	J		
87.					Sold (part)	05/01/17	J		
88.					Sold (part)	06/28/17	J		
89.					Sold (part)	09/26/17	J		
90.					Sold (part)	10/03/17	J		
91.					Sold (part)	10/24/17	J		
92.					Sold (part)	12/19/17	J		
93. Buffalo USA Growth Fund	A	Dividend	J	T	Buy (add'l)	12/21/17	J		
94.					Sold (part)	04/12/17	J		
95.					Sold (part)	05/01/17	J		
96.					Sold (part)	06/28/17	J		
97.					Sold (part)	09/26/17	J		
98.					Sold (part)	10/03/17	J		
99.					Sold (part)	10/24/17	J		
100.					Sold (part)	12/19/17	J		
101. Northern Inst. Tax -Exempt		None	J	T					
102. Securian Rollover IRA Account									

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103. -- Federated Prime Cash Oblig Svc	A	Interest	J	T					
104. -- Invesco Convertible Sec Fund	A	Dividend	J	T					
105. -- Dodge & Cox Intl Fund	A	Dividend	J	T					
106. -- Goldman Sachs Mid-Cap Value Fund	A	Dividend			Sold	01/09/17	J		
107. -- Harbor Intl Fund	A	Dividend			Sold	01/09/17	J		
108. -- Homestead Value Fund	A	Dividend	K	T					
109. -- JP Morgan Small-Cap Growth Fund	A	Dividend	J	T					
110. -- Loomis Sayles Strat Income Fund	A	Dividend	J	T					
111. -- MFS Intl New Discovery Fund	A	Dividend			Sold	01/09/17	J		
112. -- Northern Small Cap Value Fund	A	Dividend	J	T					
113. -- Oppenheimer Developing Markets	A	Dividend	J	T					
114. -- Primecap Odyssey Growth Fund	A	Dividend	J	T					
115. -- Principal High Yield Fund Class P	A	Dividend	J	T					
116. -- Prudential Global Real Estate Fund	A	Dividend	J	T					
117. -- T Rowe Price Blue Chip Growth	A	Dividend	J	T					
118. -- Templeton Global Bond Fund Advisor	A	Dividend	J	T					
119. -- Van Eck Global Hard Assets Fund	A	Dividend			Sold	01/09/17	J		

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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) 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. -- AQR	A	Dividend	J	T					
121. -- Columbia Commodity	A	Dividend	J	T					
122. -- Victory	A	Dividend	J	T					
123. -- Diamond Hill (X)	A	Dividend	J	T	Buy	01/09/17	J		
124. -- Fidelity Advisor Intl Growth Class (X)	A	Dividend	J	T	Buy	01/09/17	J		
125. Sequella, Inc.		None	M	T					
126. IRX Therapeutics, Inc.		None	L	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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Name of Person Reporting

Dow, Jr., Robert M.

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

Part IV:

Additional reimbursement:

Sedona Conference 11/2/17 to 11/3/17 Phoenix, AZ Attend and present at conference on discovery rules transportation, food, lodging

Part VII:

1. Lines 4, 18, 24, 30, 33, 36, and 102 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 39, the HSA account with TD Ameritrade (HSA Bank) has a zero balance and will be closed during 2018.

3. For lines 123 and 124, the (X) indicates new assets acquired (and thus now reportable) in 2017.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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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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