AO 10
Rev. 1/2022

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Dow, Jr., Robert M.	U.S. District Court, Northern District of Illinois	06/03/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge -- Active Status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
E.M. Dirksen U.S. Courthouse 219 South Dearborn Street, Room 2303 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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Director	Arthur J. Schmitt Foundation
2.	Co-Trustee	Trust #1
3.	Adjunct Professor	Northwestern University Law School
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements)*

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2021	Teaching at Northwestern University Law School	$9,166.00
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.)*

	DATE	SOURCE
1.	2021	State of Illinois - income as Associate Judge for the 12th Judicial Circuit of Illinois
2.		
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	George Washington Law School	10/5/20 to 10/7/20	Washington, DC	Attend and present at MDL conference	transportation, food, lodging
2.	MTMP conference	10/13/20 to 10/15/20	Las Vegas, NV	Attend and present at panel on mass tort litigation	transportation, food, lodging
3.	Quebec Bar Association	10/21/20 to 10/22/20	Montreal, QC	Attend and present at class action conference	transportation, food, lodging
4.	American Bar Association	10/27/20 to 10/28/20	Miami, FL	Attend and present at white collar crime conference	transportation, food, lodging

5.	UCLA Law School/Rand Corporation	11/11/20 to 11/13/20	Santa Monica, CA	Attend and present at complex litigation conference	transportation, food, lodging

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Dow, Jr., Robert M.	06/03/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Northern Trust Bank accounts		None			Closed	01/05/21	J		
2.	Northern Trust Bank IRA (CD)		None			Closed	01/05/21	J		
3.	First Commuity Bank accounts	A	Interest	J	T					
4.	Harris Bank accounts	A	Interest	J	T					
5.	GCG 529 Fund #2									
6.	--American Funds Capital World G/I 529A	A	Dividend	J	T	Distributed (part)	01/05/21	J		
7.	-- American Funds Growth Fund of America 529A	A	Dividend	J	T	Distributed (part)	01/05/21	J		
8.	GCG 529 Fund #3									
9.	-- New Perspective Fund 529A	A	Dividend	J	T	Distributed (part)	07/08/21	J		
10.						Distributed (part)	11/09/21	J		
11.	-- American Funds Fundamental Investors 529A	A	Dividend	J	T	Distributed (part)	07/08/21	J		
12.						Distributed (part)	11/09/21	J		
13.	GCG 529 Fund #4									
14.	-- American Funds SmallCap World Fund 529A		None			Distributed	01/05/21	J		
15.	-- American Funds Capital Income Builder 529A		None			Distributed	01/05/21	J		
16.	TD Ameritrade (HSA Bank)		None	J	T					
17.	Sauk Valley Community Bank Common Stock	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	

Name of Person Reporting	Date of Report
Dow, Jr., Robert M.	06/03/2022

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
18.	Sequella, Inc.		None	J	T					
19.	IRX Therapeutics, Inc. n/k/a Brooklyn Immuno Therapeutics, Inc.		None	J	T					
20.	Jackson National Life Annuity									
21.	-- JNL/American Growth		None	M	T					
22.	-- JNL/Double Line CAPE		None	M	T					
23.	-- JNL/Vanguard Small CoGr		None			Merged (with line 24)	04/23/21	M		
24.	-- JNL/MultiMgrSmGapGr (X)		None	M	T					
25.	-- JNL/American GlGrowth		None	L	T					
26.	-- JNL/MC Hthcare Sector		None	K	T					
27.	-- JNL/T.Rowe Price MidCapGr		None	K	T					
28.	-- JNL/MC Info Tech Sector		None	L	T					
29.	-- JNL/MC Sm Cap Inded		None	K	T					
30.	-- JNL/American Global SmCap		None	K	T					
31.	-- JNL/WestchesterCapEventDr		None	L	T					
32.	Transamerica Life Annuity									
33.	-- TA Jennison Growth (Y)									
34.	-- TA Morgan Stanley Capital Growth		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
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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 (1) Amount Code 1 (A-H)	B (2) Type (e g , div , rent, or int)	C Gross value at end of reporting period (1) Value Code 2 (J-P)	C (2) Value Method Code 3 (Q-W)	D Transactions during reporting period (1) Type (e g , buy, sell, redemption)	D (2) Date mm/dd/yy	D (3) Value Code 2 (J-P)	D (4) Gain Code 1 (A-H)	
35. -- TA WMC US Growth		None	L	T					
36. -- TA T. Rowe Price Small Cap		None	M	T					
37. -- TA Torrey Concentrated Growth (Y)									
38. -- TA Janus Mid-Cap Growth		None	L	T					
39. -- American Funds Growth Fund		None	M	T					
40. -- American Funds Growth - Income Fund		None	L	T					
41. [redacted] Trusts (X)									
42. -- [redacted] Trust Cash Assets Commerce Trust Co (X)	A	Interest	L	T	Open	12/14/21	N		
43.					Distributed (part)	12/15/21	L		
44.					Distributed (part)	12/15/21	L		
45.					Distributed (part)	12/15/21	L		
46.					Distributed (part)	12/15/21	L		
47.					Distributed (part)	12/17/21	L		
48. -- [redacted] Marital Trust Cash Assets Commerce Trust C (X)	A	Interest	M	T	Open	12/14/21	P1		
49.					Distributed (part)	12/15/21	O		
50.					Distributed (part)	12/15/21	O		
51.					Distributed (part)	12/15/21	O		

1 Income Gain Codes: (See Columns B1 and D4)	A =$1,000 or less	B =$1,001 - $2,500	C =$2,501 - $5,000	D =$5,001 - $15,000	E =$15,001 - $50,000
	F =$50,001 - $100,000	G =$100,001 - $1,000,000	H1 =$1,000,001 - $5,000,000	H2 =More than $5,000,000	
2 Value Codes (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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A	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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)	
52.					Distributed (part)	12/15/21	O		
53.					Distributed (part)	12/15/21	O		
54. -- [redacted] Interim Trust (X)					Distributed (part)	12/15/21	O		
55. -- Cash Assets Commerce Bank (X)	G	Int./Div.	N	T	Distributed (part)	12/14/21	P1		
56. -- Real Estate Vineyard Haven, MA (X)		None	P1	Q					

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	N =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part IV. (continued)

Source Dates Location Purpose Items Paid or Provided

6. Lawyers for Civil Justice 12/2/21 to 12/3/21 Nashville, TN Discussion of possible amendments to FRCP transportation, food, lodging

Part VII.

1. Lines 5, 8, 13, 20, 32, 41, and 55 are headers.

2. Lines 1 and 2 are for accounts that had minimal balances for several years and were finally closed by the bank in 2021.

3. Line 16 is a defunct HSA account tht has a zero balance, but my original contact at TD Ameritrade no longer works there and I have not managed to locate somebody to close the account.

4. Line 19 related to a stock that a member owns and we learned in 2021 that the original company has been bought by Brooklyn Immuno Therapeutics and now is publicly traded (BTX) on one of the exchanges.

5. Line 23 is a fund that merged into a new fund listed on Line 24 in April 2021.

6. Lines 30 and 37 are funds that merged into other funds within the same Transamerica Annuity portfolio at the beginning of 2020, and thus are marked with (Y) as they no longer need to be reported for 2021.

7. Lines 41 through 56 relate to a member's estate. I was appointed co-trustee in December 2021 to assist with the distribution of the estate. As of the time of my appointment and still today, the Trust and the Marital Trust consisted entirely of cash assets at the Commerce Trust Company in Kansas City, MO. The Interim Trust has two components, one consisting of cash assets and the other consisting of real estate, which is a home in Vineyard Haven, MA. After my appointment, certain cash distributions were made to members. It is anticipated that in 2022 the real estate will be transferred to the surviving spouse and the rest of the cash distributed to members after expenses are paid. Once those occur, these trusts will be dissolved, so my co-trustee duties should end this year. The appraisal date for the real estate listed on Line 56 is March 9, 2021.

8. Line 55 reports income to the Interim Trust during the reporting period in the form of interest and dividends that preceded my appointment as co-trustee in December 2021. Prior to my appointment, all of the stock holdings in the Interim Trust were sold for cash, so that as of the date of my appointment the sole holdings of the Interim Trust were the cash and real estate noted on lines 55 and 56. The only income to the Interim Trust after my appointment was interest on the cash.

Name of Person Reporting	Date of Report
Dow, Jr., Robert M.	06/03/2022

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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Washington, D.C. 20544