AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

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
Gettleman, Robert W.	U.S. District Court, N.D. Illinois	10/17/2024
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)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☑ Amended Report	01/01/2023 **to** 12/31/2023
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.		

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.	2023	Northwestern University School of Law; taught course	$2,000.00
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.)*

	DATE	SOURCE AND TYPE
1.	2023	Illinois Teachers' Retirement System; Pension
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.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Gettleman, Robert W.	10/17/2024

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
1. Citibank (Chicago) Gold	A	Interest	J	T					
2. Morgan Stanley Liq. Asset Fund	A	Dividend	J	T					
3. MS Natural Resources	A	Dividend	K	T					
4. Morgan Stanley Active Assets Money Trust	C	Dividend	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	Dividend	J	T					
9. Bristol Myers Squibb Co.	A	Dividend	K	T					
10. ING Plus	A	Interest	J	T					
11. GE Money BK n/k/a Sychrony BK	A	Interest	J	T					
12. MS Bank CD	A	Interest	K	T					
13. Stora Enso SP ADR Ser R (SEQAY)	A	Dividend	J	T					
14. Turquoise Hill Res Ltd Com (RRQ)	A	Dividend	J	T					
15. Amer. FDS Cap. Bldrs.	C	Dividend	K	T					
16. Morgan Stanley Growth Fund of Amer.	C	Dividend	K	T					
17. U.S. Treas. Bonds	A	Interest	L	T					

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

3. Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
U =Book Value
V =Other
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Gettleman, Robert W.	10/17/2024

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

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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
18. Morgan Stanley U.S. Govt. Sec.	C	Dividend	M	T					
19. Morgan Stanley Liq. Asset Fund	B	Dividend	K	T					
20. Morgan Stanley European Growth	A	Dividend	K	T					
21. Morgan Standly Pacific Grouwth B	A	Dividend	J	T					
22. Bristol Myers Squibb Co.	A	Dividend	K	T					
23. Novartis AG ADR	A	Dividend	K	T					
24. Raytheon Co (New)	A	Dividend	K	T					
25. GMAC Bank CD	A	Dividend	J	T					
26. Intel Corp.	A	Dividend	K	T					
27. American Mutual A	A	Dividend	J	T					
28. Columbia Global Value B	A	Dividend	J	T					
29. Goldman Sachs GRP Inc.	A	Dividend	K	T					
30. Morgan ST III Cum	A	Dividend	J	T					
31. Chicago Go-EsD BE	A	Dividend	K	T					
32. Duke Energy Corp	A	Dividend			Sold	10/03/23	K	D	
33. Verizon Comm	A	Dividend	K	T					
34. Calif St. Genl Oblig	A	Interest	J	T					

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35. Thornburg Inv. Inc.	A	Dividend	J	T					
36. Will Cnty Ill Cmnty Cons Sch Dist. No. 30-C Ser B	A	Interest	J	T					
37. San Diego Cnty Calif Wtr Auth Fing Agy Wt Rev-A	A	Interest	J	T					
38. San Antonio Tex Wtr Sys Rev Ref	A	Interest	J	T					
39. 3M Company (MMM)	A	Dividend	K	T					
40. Cisco Syst Inc (CSCO)	A	Dividend	K	T					
41. Wells Fargo & CO	A	Interest	K	T					
42. Colgate Palmolive Co (CL)	A	Dividend	K	T					
43. Johnson & Johnson	A	Dividend	K	T					
44. Microsoft Corp (MSFT)	A	Dividend	L	T					
45. Weatherford International LTD (WTF)	A	Dividend	J	T					
46. New York City Genl Oblig Ser-F Subseries F-1 Build America	A	Interest	J	T					
47. Pennsylvania St. Build America Bond	A	Interest	J	T					
48. New York St. Mun Bd Bk Agy Recovery Act Build America	A	Interest	J	T					
49. New York City Go Build America C-1	A	Interest	J	T					
50. Corning Inc (GLW)	A	Dividend	K	T					
51. Facebook Inc CL-A (FB) nka META Platforms Inc. CL A (FB)	A	Dividend	M	T					

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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	
	P3 =$25,000,001 - $50,000,000		P4 =More than $50,000,000		
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52. General Mtrs Co (GM)	A	Dividend	K	T					
53. Vanguard European MSCI ETF (VGK)	A	Dividend	J	T					
54. KKR & Co LLP (KKR)	A	Dividend	J	T					
55. MS US Inflaction Linked Notes	A	Dividend	J	T					
56. Royal Bank of Scotland	A	Dividend	J	T					
57. Lloyds TSB Bank PLC	B	Dividend	J	T					
58. WP Carey Inc Com (WPC)	A	Dividend	J	T					
59. BCE Inc (NEW)(BCE)	A	Dividend	J	T					
60. BCE 8.25% Contingent Autocall Dis (SQBKD)	A	Dividend	J	T					
61. BCS Contingent 9.6% Autocall on BABA (SPZKT)	A	Dividend	J	T					
62. Medical Properties Trust Inc (MPW)	A	Dividend	K	T					
63. PPL Corporation (PPL)	A	Dividend	J	T					
64. Sumitomo Mitsui Finl Group, Inc. (SMFG)	A	Dividend	J	T					
65. Twitter Inc (TWTR)	A	Dividend	J	T					
66. Alibaba Group (BABA)	A	Dividend	K	T					
67. Apple Inc (AAPL)	A	Dividend	M	T					
68. Chevron	A	Dividend	K	T					

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69. Northwest Bancshares	A	Dividend	K	T					
70. TMCC STE UP	A	Dividend	J	T					
71. Nike, Inc.	A	Dividend	J	T					
72. Alliance Rest. Part. (ARLP)	A	Dividend	J	T					
73. Blackstone (BX)	A	Dividend	J	T					
74. Blackstone Secured Lending	A	Dividend	J	T	Sold (part)	05/30/23	J	A	
75. Blackstone	A	Dividend	J	T	Buy (add'l)	10/03/23	J		
76. China Life	A	Dividend	J	T					
77. Springfield ILL Wtr Rev	A	Dividend	J	T					
78. Rio Rancho N Mex Wtr & Wastwtr Sy7s Rev	A	Interest	J	T					
79. Fresno Calif Swr Rev Ser A	A	Interest	J	T					
80. San Mateo Calif Un High Sch Dist	A	Interest	J	T					
81. Orange Cnty Calif Santn Wastewater Rev Ref A	A	Interest	J	T					
82. Amgen Inc	A	Dividend	K	T					
83. HSBC Dual Directional Trigger Plus Facebook, Inc. (SPUOD)	A	Dividend	K	T					
84. United Technologies Corp	A	Dividend	J	T					
85. Walt Disney Co Hldg Co (DIS)	A	Dividend	L	T					

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86. Gabelli Utility Trust	A	Dividend	J	T					
87. Pepsico Inc.	A	Dividend	J	T					
88. Nike, Inc.	A	Dividend	J	T					
89. Anheuser-Busch Invev Fin	A	Dividend	J	T					
90. IShares MSCI Euro Financial	A	Dividend	J	T					
91. SPDR Global Dow ETF (DGT)	A	Dividend	J	T					
92. The India Fund Inc (FN)	A	Dividend	K	T					
93. Tortois Energy INFRA (TYG)	A	Dividend	K	T					
94. Vanguard FTSE Europe EFT (VGK)	A	Dividend	L	T					
95. Amazon (Bond)	A	Interest	J	T					
96. MS Dual Directional Trigger Plus on GDX SPUVL	A	Dividend	K	T					
97. MS Dual Directional Trigger Plus on SX5E (SPPVFK)	A	Dividend	K	T					
98. HSBC Continent 8.3% autocall	A	Dividend	K	T					
99. Kranesh Bosera MSCI China A (KBA)	A	Dividend	K	T					
100. Kraneshares Bosera MCI Chin	A	Dividend	K	T	Sold (part)	05/30/23	J	A	
101. Kraneshares CSI China Internet (KWEB)	A	Dividend	K	T					
102. Kraneshares CSI China Interest	A	Dividend	J	T	Sold (part)	05/30/23	J	A	

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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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103. Cook Cnty ILL Genl Oblig Ref	B	Interest	K	T					
104. Cook Cnty Ill Sch Dist No. 084 1/2	B	Interest	K	T					
105. City of Chicago Second Lien Wstwtr Transm Rev	C	Interest	K	T					
106. Los Angeles Calif Dept Arpts Artp Snr Rev Ser-D	A	Interest	K	T					
107. Ventura Cnty Calif Cmnty College Dist Ref	A	Interest	K	T					
108. Citigroup INC FXD to 012023 Var Thereafter 5.9500%	B	Interest	K	T					
109. Citigroup Inc FXD to 112019 VAR Thereafter 5.800%	B	Interest	K	T					
110. Capital One Financial Corp.	A	Interest			Sold	10/03/23	K	C	
111. Natwest Marketsk PLC	A	Interest	K	T					
112. The Financial Sel Sect SPDR FD (XLF)	A	Interest	K	T					
113. Chicago City Ill Second Lien WTR Rev Proj & Ref	B	Interest	K	T					
114. State of California Genl Oblig Ref-B	B	Interest	K	T					
115. Coca Cola Co (KO)	A	Dividend	K	T					
116. Crown Castle Intl Corp (CCI)	A	Dividend	K	T					
117. Brighthouse Financial 6.60-A (BHFAP)	A	Interest	K	T					
118. Digital Realty Trst 5.850-K (DLR.K)	A	Interest	K	T					
119. Keycorp 5.65% Ser-G (KEY.K)	A	Interest	K	T					

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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
120. Oaktree Cap Grp LLC (OAK.A)	A	Dividend	K	T					
121. PS Business Parks Inc.	A	Dividend	K	T					
122. Vaneck Vectors Gold Mines	A	Dividend	K	T					
123. Aegon Funding Corp LLC	A	Dividend	K	T					
124. Ford Motor Co. Bond	A	Interest	K	T					
125. WR Berkley Corp	A	Dividend	K	T					
126. Sempra Energy	A	Dividend	K	T					
127. South Jersey Industries, Inc.	A	Dividend	K	T					
128. Apollo Global Mgmt Inc.	A	Dividend	K	T					
129. BCS Buffered Plus on ASHR (SQALU)	A	Dividend	K	T					
130. BCS Buffered Plus on SPX (SQACE)	A	Dividend	K	T					
131. BCS Buffered Plus on SX5E (SQAFZ)	A	Dividend	K	T					
132. Aspen Insurance Holdings	A	Dividend	K	T					
133. IShares Core MSCI EAFE ETF (IFA)	A	Dividend	J	T					
134. IShares Core MSCI Emerging (IEMG)	A	Dividend	J	T					
135. IShares IBOXX HY COR BD EFT	A	Dividend	J	T					
136. IShares Russell 1000 GRW EFT (IWF)	A	Dividend	J	T					

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		
3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Gettleman, Robert W.	10/17/2024

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
137. IShare Russell 2000 Value ETF (IWN)	A	Dividend	J	T					
138. IShares Russell Midcap G EFT (IWP)	A	Dividend	J	T					
139. IShares Russell Midcap V ETF (IWS)	A	Dividend	J	T					
140. Pimco Enhanced SHRT MTRT EXC (MINT)	A	Dividend	J	T					
141. Athene Holding Ltd.	A	Dividend			Sold	10/03/23	J	E	
142. First Republc BK 4.7% Ser-J (FRCJ)	A	Dividend	K	T					
143. MetLife Inc. 4/7% F ((Met.F)	A	Dividend	K	T					
144. MS 8% Contingent Autocall BAC (SQBXA)	A	Dividend	K	T					
145. MS 9.65% Contingent Autocall C (SQBYJ)	A	Dividend	K	T					
146. MS 9.75% Contingent Autocall AAPL (SQDKQ)	A	Dividend	K	T					
147. USB 8.25% Contingent Autocall WMT (SQDJU)	A	Dividend	K	T					
148. VISA Inc. CL A (V)	A	Dividend	K	T					
149. Blackrock CAP Allocation TR (BCAT)	B	Dividend	K	T					
150. Blackrock Heaalth Sciencs TR II (BMEZ)	B	Dividend	K	T					
151. First TR High Yield Opprt 2027(FTHY	B	Dividend	K	T					
152. Invesco High Inc. 2024 Target (IHTA)	B	Dividend	K	T					
153. American Financial Group 5.625% (AFGD)	B	Interest	K	T					

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
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3. Value Method Codes (See Column C2)
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Name of Person Reporting	Date of Report
Gettleman, Robert W.	10/17/2024

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
154. Generl Electric Co. FXD to 012021 Var Thraftr 5.0000	A	Interest	J	T					
155. Nuveen MUN CR Opportunities FD (NMCP)	B	Interest	K	T					
156. GS10% Contingent Autocall BABA (SQEVW)	A	Interest	K	T					
157. GS 8.75 Contingent Autocall DIS (SQEPR)	A	Interest	K	T					
158. PS Business Parks Inc. 4.875%-Z(PSB.Z)	B	Dividend	L	T					
159. Blackrock ESG CAP ALLO Trust (ECAT)	E	Dividend	K	T					
160. Blackrock Innovation and GRW B (BIGZ)	A	Dividend	K	T					
161. Blackstone Secured Lending (BXSL)	D	Dividend	J	T					
162. Goldman Sachs BDC Inc. (GSBD)	E	Dividend	L	T					
163. Goldman Sachs BDC Inc.	E	Dividend	K	T	Sold (part)	05/30/23	K	B	
164. SPDR Metals & Mining (XME)	C	Dividend	K	T					
165. Brookfield Infrastructure Partners ULC 5.00% (BIPH)	E	Dividend	K	T					
166. IShares Russell 1000 Value ETF(IWF)	B	Dividend	K	T					
167. IShares Russell 2000 Value ETF (IWN)	A	Dividend	J	T					
168. Vanguard Short Term BND (BSV)	A	Dividend	J	T					
169. First CTZNS Bancshares, Inc N C (FCNCO)	B	Dividend	K	T					
170. Northern Trust Corp. 4.70% S-E (INTS))	A	Dividend			Sold	10/03/23	K	B	

1. Income Gain Codes: (See Columns B1 and D4)
A =$1,000 or less
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C =$2,501 - $5,000
D =$5,001 - $15,000
E =$15,001 - $50,000
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H2 =More than $5,000,000

2. Value Codes (See Columns C1 and D3)
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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
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Gettleman, Robert W.	10/17/2024

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 (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)	D. (5) Identity of buyer/seller (if private transaction)
171. Truist Fincl Corp 4.75% SER-R (TCF R)	A	Dividend	K	T					
172. San Francisco Calif City & CNTY UNI SCH DIST SER-F/C	B	Interest	K	T					
173. NB Crossroads PMF VI LP	D	Dividend	J	T					
174. MS Direct Lending Fund	C	Dividend	J	T					
175. NB Select Opps Fund V	D	Dividend	J	T					
176. NB Select Opps Fund V	D	Dividend	J	T	Buy (add'l)	03/07/23	J		
177. NB Select Opps Fund V	D	Dividend	J	T	Buy (add'l)	03/22/23	J		
178. NB Select Opps Fund V	D	Dividend	J	T	Buy (add'l)	06/14/23	J		
179. NB Select Opps Fund V	A	Dividend	J	T	Buy (add'l)	09/27/23	J		
180. Franklin BSP CAP Corp	D	Dividend	J	T					
181. NB Crossroads PMF VIn LP CVP	C	Dividend	J	T					
182. Oak Street Net Lease Trust	G	Dividend	K	T					
183. Counterpoint Ventures Fund	D	Dividend	J	T					
184. Counterpoint Ventures Fund	E	Dividend	K	T	Buy (add'l)	03/24/23	J		
185. Counterpoint Ventures Fund	A	Dividend	K	T	Buy (add'l)	07/26/23	J		
186. Counterpoint Ventures Fund	E	Dividend	K	T	Buy (add'l)	07/26/23	J		
187. San Francisco California Municipal Bond	E	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)
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B =$1,001 - $2,500
C =$2,501 - $5,000
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H1 =$1,000,001 - $5,000,000
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2. Value Codes (See Columns C1 and D3)
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K =$15,001 - $50,000
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M =$100,001 - $250,000
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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.)*

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188. First Republic BK 4.7%	D	Interest	K	T					
189. JP Morgan Chase & Co FXD to 072019 VAR Thraftr 5.91%	E	Interest	J	T					
190. Clark County Nev HWY IMPT Rev Ref-C	A	Interest	K	T	Buy	01/24/23	J		
191. Texarkana Tex Indpt Sch Dist	A	Interest	K	T	Buy	01/26/23	J		
192. Peoria Arz	A	Interest	K	T	Buy	01/30/23	K		
193. Orange Cnty Fla Tourist Dev Tax Rev Ref	A	Interest	K	T	Buy	01/30/23	K		
194. Orange Cnty Fla Tourist Dev Tax Rev Ref	A	Interest	K	T	Sold (part)	05/24/23	J	A	
195. New York N Y City Transitioanl Fin Auth	A	Interest	K	T	Buy	02/01/23	K		
196. New York N Y City Transitioanl Fin Auth	A	Interest	K	T	Buy (add'l)	02/13/23	K		
197. New York N Y City Transitional Fin Auth	B	Interest	K	T	Sold (part)	07/31/23	J	B	
198. New York N Y City Transitional Fin Auth	A	Interest	J	T	Sold (part)	09/28/23	J	A	
199. New York N Y City Transitional Fin Auth	A	Interest	J	T	Buy (add'l)	10/10/23	J		
200. Florida St Brd Ed Pub Ed	A	Interest	K	T	Buy	02/02/23	K		
201. Connecticuut St Genl Oblig Ref-B	A	Interest	J	T	Buy	01/24/23	J		
202. Texas Bexar Cnty Lmtd Tax Ref	A	Interest	K	T	Buy	01/24/23	K		
203. Pennsylvania State	A	Interest	K	T	Buy	02/09/23	K		
204. BCS Buffered Plus SX5E	A	Dividend	L	T	Buy	02/14/23	L		

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
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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.)*

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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
205. BCS buffered Plus 5X5E	A	Dividend	J	T	Buy	02/14/23	J		
206. CitiDual Directioanl Buffered Plus SPX	D	Dividend	J	T	Buy	02/14/23	J		
207. PE Premr Oaktree XI Offshr	E	Dividend	K	T	Buy	02/17/23	J		
208. PE Premr Oaktree XI Offshr	E	Dividend	K	T	Buy (add'l)	03/27/23	J		
209. PE Premr Oaktree XI Offshr	E	Dividend	K	T	Buy (add'l)	05/26/23	J		
210. PE Premr Oaktree XI Offshr	D	Dividend	J	T	Buy (add'l)	06/28/23	J		
211. Racine Wis Uni Sch Dst	D	Interest	J	T	Buy	02/23/23	J		
212. New York ST Dorm Auth Revs Non St. Supported Rev-A	A	Interest	K	T	Buy	05/26/23	K		
213. USB 10.1% Contingent Autocall AXP	E	Interest	K	T	Buy	06/23/23	J		
214. Denison Tex Indpt Sch Dist	A	Interest	K	T	Buy	07/28/23	J		
215. Illinois Fina Auth Clean WTR Initiative REV	A	Interest	J	T	Buy	08/03/23	J		
216. Pennsylvania State	A	Interest	J	T	Buy (add'l)	08/03/23	J		
217. Pennsylvania State	A	Interest	J	T	Sold (part)	08/21/23	J		
218. Smith Cnty Tex	A	Interest	K	T	Buy	08/22/23	J		
219. Minnesota State	A	Interest	J	T	Buy	08/24/23	J		
220. USB 10/25% Contingent Autocall MSFT	A	Interest	K	T	Buy	09/22/23	J		
221. MS Direct Lending Fund	A	Interest	J	T	Buy	10/03/23	J		

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

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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 (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)	D. (5) Identity of buyer/seller (if private transaction)
222. New York St. Dorm Auth St. Pers Income Tax	A	Interest	J	T	Buy	10/02/23	J		
223. USB 10/35% Contingent Memory Autocall BX	B	Interest	J	T	Buy	09/29/23	J		
224. NB Crossraods PMF VI LP	A	Dividend	J	T	Buy	10/05/23	J		
225. K-Infra Founders Class U	F	Dividend	L	T	Buy	12/01/23	J		

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
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Name of Person Reporting	Date of Report
Gettleman, Robert W.	10/17/2024

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

Part VII, lines 203, 216, 217 and 219: the assets listed as Pennsylvania St and Minnesota St. are the full names of these assets. I have spelled out the word "State" in order to better describe the asset.

Name of Person Reporting	Date of Report
Gettleman, Robert W.	10/17/2024

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