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
Guzman, Ronald A.	Northern District of Illinois	05/01/2022
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**
Senior Status Article III Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	1/1/2021 **to** 12/31/2021
7. Chambers or Office Address		
219 S. Dearborn St. Chambers 1886 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.		
2.		
3.		
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.			
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 University Retirement.
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.					
2.					
3.					
4.					
5.					

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
Guzman, Ronald A.	05/01/2022

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	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)	
1.	(FKTIX) Franklin Federal Tax Free Inc. Fund	A	Interest	K	T					
2.	(WBA) Walgreen Co. Common Stock	A	Dividend	K	T					
3.	(CAIBX) Capital Income Builder Fund	B	Dividend	K	T					
4.	(MTIPX) Morgan Stanley Instl FD Portfol A	A	Dividend	J	T					
5.	(ACSTX) Invesco Comstock Class A Exchange/merger	B	Dividend	J	T					
6.	(ACCBX) Invesco Corp Bond Fund Class A Merger/Exchange	A	Dividend	J	T					
7.	(OEGAX) Invesco Disc Md Cap Gwth Cl A	A	Dividend	J	T					
8.	(ACEIX) Invesco Equity and Inc Class A	A	Dividend	J	T					
9.	(AIIEX) Invesco International Growth Fund Class A	A	Dividend	J	T					
10.	(MSAVX) Invesco Amer Value Class A	A	Dividend	J	T					
11.	(FSCDX) Fidelity Advisor Small Cap A	A	Dividend	J	T					
12.	(FIIAX) Fidelity Advisor Mid Cap II A	A	Dividend	J	T					
13.	(FAHDX) Fidelity Advisor High Inc Advt Class A	A	Dividend	J	T					
14.	((FAIDX) Fidelity Advisor Intl Discovery A	A	Dividend	J	T					
15.	(FGVMX) Fidelity New Mkt Inc.	A	Int./Div.	J	T					
16.	(FNIAX) Fidelity Advisor New Insights A	A	Dividend	K	T	Sold (part)	12/14/21	J	A	
17.	(QDERQ) JP Morgan Liquid Asset Fund	A	Int./Div.	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

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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)	
18.	JPMorgan Chase Bank, N.A. Account	A	Interest	M	T					
19.	JP Morgan Chase Bank Checking Checking X	A	Interest	J	T					
20.	JP Morgan Chase Bank Probate Estate Checking Acct X	A	Interest	M	T					
21.	(SCHH) CHARLES SCHWAB US REIT	A	Int./Div.	J	T					
22.	IAU ISHARES GOLD ETF	A	Int./Div.	J	T					
23.	(FNDE) SCHWAB FUNDA EMG MKTS LARGE COM ETF SYMBOL:	A	Int./Div.	J	T					
24.	(SCHX) SCHWAB US LARGE CAP ETF	A	Int./Div.	J	T					
25.	(SCHA) SCHWAB US SMALL CAP ETF	A	Int./Div.	J	T					
26.	(VNQI) VANGUARD GLBAL EX US REAL ESTATE ETF	A	Int./Div.	J	T					
27.	(VTEB) VANGUARD MUNI BND TAXEXEMPT ETF	A	Int./Div.	K	T	Buy (add'l)	04/26/21	J		
28.						Buy (add'l)	04/26/21	J		
29.	SCHWAB BANK SWEEPS ACCOUNT	A	Interest	J	T					
30.	(SPIP) SPDR PORTFOLIO TIPS	A	Int./Div.	J	T	Sold (part)	04/27/21	J	A	
31.	(PDN) INVESCO FTSE RAFI DEV. MKTS	A	Int./Div.	J	T	Sold (part)	04/26/21	J	A	
32.	(PRF) INVESCO FTSE RAFI US 1000 ETF	A	Int./Div.	J	T	Sold (part)	02/09/21	J	A	
33.	(PXH) INVESCO FTSE RAFI EMERGING MKTS ETF	A	Int./Div.	J	T					
34.	(VEA) VANGUARD FTSE DEVELOPED MKTS ETF	A	Int./Div.	J	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	
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35. (USHY) Ishares Broad USD HG YLD CRP BND ETF	A	Int./Div.	J	T					
36. (IEMG) ISHARES CORE MSCI EMERGING ETF	A	Int./Div.	J	T	Sold (part)	02/19/21	J	A	
37.					Sold (part)	04/26/21	J	A	
38.					Sold (part)	04/27/21	J	A	
39. (FNDF) SCHWAB FUND INL LARGE COM ETF	A	Int./Div.	J	T	Sold (part)	04/26/21	J	A	
40. (FNDX) SCHWAB FUND US LARGE CO ETF	A	Int./Div.	J	T	Sold (part)	04/26/21	J	A	
41. (FNDA) SCHWAB FUND US SMALL COM ETF	A	Int./Div.	J	T	Sold (part)	04/26/21	J	A	
42. (SCHP) SCHWAB US TIPS ETF	A	Int./Div.	J	T	Buy (add'l)	02/19/21	J		
43. (TFI) BARCLAYS MUNICIPAL BOND ETF	A	Int./Div.	K	T					
44. (EMLC) VANECK VECTORS J.P.	A	Int./Div.	J	T					
45. (VOO) VANGUARD S&P 500	A	Int./Div.	J	T	Sold (part)	02/19/21	J	A	
46. (VB) VANGUARD SMALL CAP ETF	A	Int./Div.	J	T	Sold (part)	02/19/21	J		
47. (VSS) VGRD FTSE ALL WRLD EX US	A	Int./Div.	J	T					
48. (HAUZ) XTRACKERS INTER REAL EST	A	Int./Div.	J	T					
49. (SNSXX) Schwab US Trsy Money Money Mkt Fund X*	A	Int./Div.	M	T					
50. (SWVXX) Schwab Value Advantage Money Mkt Fund X*	A	Int./Div.	M	T					

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

Name of Person Reporting	Date of Report
Guzman, Ronald A.	05/01/2022

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/ Ronald A. Guzman

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