AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Guzman,, Ronald A.	Northern District of Illinois	04/04/2024
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**
Senior Status Article III Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
219 S. Dearborn Street Chicago, Illinois 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.	2023	State University Retirement benefits
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.	04/04/2024

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 (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)	
1.	1. (FKTIX) Franklin Federal Tax Free Inc. Fund (FKTI	A	Int./Div.	K	T					
2.	(WBA) Walgreen Co. Common Stock	B	Int./Div.	J	T					
3.	(CAIBX) Capital Income Builder Fund	B	Int./Div.	K	T					
4.	MTIPX Morgan Stanley Instl Fd Portf A	A	Int./Div.	J	T					
5.	5. (ACSTX) Invesco Comstock Class A Exchange/merger	A	Int./Div.	J	T					
6.	6. (ACCBX) Invesco Corp Bond	A	Int./Div.	J	T					
7.	OEGAX Invesco Disc Md. Cap Grth A	A	Int./Div.			Sold	12/18/23	J	B	
8.	(ACEIX) Invesco Equity and Inc Class A	A	Int./Div.	J	T					
9.	(AIIEX) Invesco International Growth Fund Class A	A	Int./Div.	J	T					
10.	(VVOAX) Invesco International Growth Fund Class A	A	Int./Div.	J	T					
11.	(FSCDX) Fidelity Advisor Small Cap A	B	Int./Div.	J	T					
12.	(FIIAX) Fidelity Advisor Mid Cap II A	A	Int./Div.	J		Sold	12/11/23			
13.	(FAHDX) Fidelity Advisor High Inc Advt Class A	A	Int./Div.	J	T					
14.	((FAIDX) Fidelity Advisor Intl Discovery A	A	Int./Div.	J	T					
15.	(FGVMX) Fidelity New Mkt Inc.	A	Int./Div.	J	T					
16.	(FNIAX) Fidelity Advisor New Insights A	B	Int./Div.	J	T					
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	J	T					
19. JP Morgan Chase Bank Checking	A	Interest	K	T					
20. JP Morgan Chase Bank Probate Estate Checking Acct X	A	Interest	M	T					
21. JP Morgan Managed - Liquidity Managed Strategy	C	Int./Div.	M	T	Buy	01/31/23			
22. (SCHH) CHARLES SCHWAB US REIT	A	Int./Div.	J	T					
23. IAU ISHARES GOLD ETF	A	Int./Div.	J	T					
24. (FNDE) SCHWAB FUNDA EMG MKTS LARGE COM ETF SYMBOL	A	Int./Div.	J	T					
25. (SCHX) SCHWAB US LARGE CAP ETF	A	Int./Div.	J	T					
26. (SCHA) SCHWAB US SMALL CAP ETF	A	Int./Div.	J	T					
27. (VTEB) VANGUARD MUNI BND TAXEXEMPT ETF	A	Int./Div.			Buy (add'l)	03/03/23	J		
28.					Buy (add'l)	03/31/23	J		
29.					Buy (add'l)	07/10/23	J		
30.					Sold (part)	09/25/23	K		
31.					Sold	10/04/23	L		
32. SCHWAB BANK SWEEPS ACCOUNT	B	Int./Div.	J	T					
33. (SPIP) SPDR PORTFOLIO TIPS	A	Int./Div.	J	T					
34. (PDN) INVESCO FTSE RAFI DEV. MKTS	A	Int./Div.	J	T					

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	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	
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35.	(PRF) INVESCO FTSE RAFI US 1000 ETF	A	Int./Div.	J	T					
36.	(PXH) INVESCO FTSE RAFI EMERGING MKTS ETF	A	Int./Div.	J	T					
37.	(VEA) VANGUARD FTSE DEVELOPED MKTS ETF	A	Int./Div.	J	T					
38.	(USHY) Ishares Broad USD HG YLD CRP BND ETF	A	Int./Div.	J	T					
39.	(IEMG) ISHARES CORE MSCI EMERGING ETF	A	Int./Div.	J	T					
40.	(FNDF) SCHWAB FUND INL LARGE COM ETF	A	Int./Div.	J	T					
41.	(FNDX) SCHWAB FUND US LARGE CO ETF	A	Int./Div.	J	T					
42.	(FNDA) SCHWAB FUND US SMALL COM ETF	A	Int./Div.	J	T					
43.	(EMLC) VANECK VECTORS J.P.	A	Int./Div.	J	T	Sold (part)	03/31/23	J	A	
44.	(VOO) VANGUARD S&P 500	A	Int./Div.	J	T					
45.	(VB) VANGUARD SMALL CAP ETF	A	Int./Div.			Sold	03/03/23	J	B	
46.	(HAUZ) XTRACKERS INTER REAL EST	A	Int./Div.	J	T	Buy	10/04/23	J		
47.	(SNSXX) Schwab US Trsy Money Money Mkt Fund X*	D	Int./Div.	M	T					
48.	(SWVXX) Schwab Value Advtg Money Mkt Fund X	D	Int./Div.	M	T					
49.	(MUB) ISHARES NATIONAL MUNI BOND ETF	B	Int./Div.	L	T	Buy (add'l)	09/25/23	K		
50.	(PXF) INVESCO FTSE RAFI DEVELOPED MARKETS EX-U.S. ETF	A	Int./Div.			Sold	03/03/23	J	A	
51.	(SCHC) SCHWAB INTERNATNAL SMALLCAP EQY ETF	A	Int./Div.	J	T					

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52. (FNDC) SCHWAB FUNDAMENTAL INTL SMAL COM ETF	A	Int./Div.	J	T					
53. (SCHF) SCHWAB INTERNATIONAL EQUITY ETF	A	Int./Div.	J	T					
54. (TROW) T Rowe Price	A	Int./Div.	J	T					
55. (SYK) Stryker Corp	A	Dividend	J	T					
56. (MSFT) Microsoft Corp	A	Dividend	J	T					
57. (MRK) Merck & Co. Inc.	A	Dividend	J	T					
58. (META) Meta Pltfrms	A	Dividend	J	T					
59. (KMX) Carmax Inc.	A	Dividend	J	T					
60. (ABT) Abbot Lab.	A	Dividend	J	T					
61. (GOOG) Alphabet Inc.	A	Dividend	J	T					
62. (ADI) ANALOG	A	Dividend	J	T					
63. (CMCSA) Comcast	A	Dividend	J	T					
64. (DHR) Danaher Corp.	A	Dividend	J	T					
65. (FISV) FISERV INC	A	Dividend	J	T					
66. (FLT) Fleetcor Techn.	A	Dividend	J	T					
67. (HUM) HUMANA INC	A	Int./Div.	J	T					
68. (ICE) Intercontinenta	A	Dividend	J	T					

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69. Series I Govt Sav Bond		None	J	T					
70. Series I Govt Sav Bond		None	J	T					
71. Rental Property, Fajardo, Puerto Rico	B	Rent	M	W	Sold (part)	03/24/23	M		
72.									
73.									

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

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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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544