

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Halfenger, Gerald M.	2. Court or Organization U.S. Bankruptcy Court, E.D. Wisconsin	3. Date of Report 06/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. Courthouse & Federal Building Room 140 517 East Wisconsin Avenue Milwaukee, WI 53217		
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Immediate Past President	Seventh Circuit Bar Association
2. Co-trustee	Chemical Bank, or its successor, as Trustee of the WisPACT Trust II for the benefit of Matthew R. Halfenger, as amended (unfunded)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Whitefish Bay School District, wages
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	10/26/16 - 10/29/16	San Francisco, CA	continuing legal education, Conference business meeting	lodging, food
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*☐NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Brad and Stephanie Erens	food and lodging for spouse and me at out-of-town wedding of law school roommate	\$550.00
2.	Kyle Markham	food and lodging for spouse and me at out-of-town wedding of family friends' son	\$766.00
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*☒NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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 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)
1. Allianz NFJ Large Cap Value	A	Dividend	J	T					
2. Blackrock Equity Dividend	A	Dividend	J	T	Sold (part)	06/17/16	J	A	
3.					Sold (part)	09/30/16	J	A	
4. Delaware Select Growth		None			Sold (part)	05/03/16	K	A	
5.					Sold	06/17/16	J	A	
6. Dodge & Cox Intl Stock	A	Dividend	K	T	Sold (part)	09/30/16	J	A	
7. Franklin Fed Int-Term T/F Inc	A	Int./Div.	J	T					
8. Fundamental Investors	A	Dividend	L	T	Sold (part)	09/27/16	J	A	
9.					Sold (part)	12/05/16	J	A	
10. Harbor Capital Appreciation	A	Dividend	L	T	Sold (part)	09/26/16	J	A	
11.					Sold (part)	12/05/16	J	A	
12. Hotchkis & Wiley Mid Cap Val	A	Dividend	K	T	Buy (add'l)	09/26/16	J		
13. Invesco International Growth	A	Dividend	K	T	Sold (part)	06/07/16	J	A	
14.					Sold (part)	09/27/16	J	A	
15. Invesco Comstock Fd CI Y	A	Dividend	L	T	Buy (add'l)	05/03/16	K		
16.					Sold (part)	09/27/16	J	A	
17.					Sold (part)	12/05/16	J	A	

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. Manning & Napier World Opp	A	Dividend	J	T	Sold (part)	09/27/16	J	A	
19. MFS Municipal Lim Maturity	A	Dividend	J	T	Sold (part)	09/27/16	J	A	
20. (Franklin)Mutual Global Discovery Cl Z	A	Dividend	L	T	Sold (part)	05/03/16	K	A	
21.					Sold (part)	06/17/16	K	A	
22.					Sold (part)	12/05/16	J	A	
23. Neuberger Berman Mid Cap Gr	A	Dividend			Sold	06/17/16	J	A	
24. Pioneer Oak Ridge Sm Cap Gr	A	Dividend			Sold (part)	09/27/16	J	A	
25.					Sold	10/04/16	J	A	
26. T Rowe Price Summit Muni Inc Fd	A	Int./Div.	J	T	Sold (part)	05/03/16	J	A	
27.					Sold (part)	06/17/16	J	A	
28. T Rowe Price Tax-Ex Mon Mkt	A	Int./Div.			Sold	05/10/16	J	A	
29. Thornburg Ltd term muni fund	A	Int./Div.	J	T					
30. American Fund Tax Exempt Bond	A	Int./Div.	J	T					
31. Columbia Acorn International	A	Dividend	J	T	Buy (add'l)	06/17/16	J		
32.					Sold (part)	09/30/16	J	A	
33. Eaton Vance Atlanta Cap SMID 1	A	Dividend	K	T	Sold (part)	09/27/16	J	A	
34.					Buy (add'l)	10/27/16	K		

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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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35.					Sold (part)	12/05/16	J	A	
36. MFS Growth Fund C1 I	A	Dividend	J	T	Sold (part)	06/17/16	J	A	
37.					Sold (part)	09/27/16	J	A	
38. Primecap Odyssey stock fund	A	Dividend	K	T	Sold (part)	09/26/16	J	A	
39.					Sold (part)	12/05/16	J	A	
40. Amer Fds Cllge Tgt 2018 529-A	A	Dividend			Sold	11/21/16	M	A	
41. Voya 529 Age 16 Option C1 AR		None	M	T	Buy	12/05/16	M		
42. Voya 529 Age 16 Option C1 C		None	J	T	Buy	12/05/16	J		
43. JP Morgan Fed Money	A	Dividend	K	T	Buy (add'l)	05/10/16	J		
44.					Sold (part)	06/17/16	K	A	
45.					Buy (add'l)	06/17/16	K		
46.					Sold (part)	09/28/16	J	A	
47.					Sold (part)	10/04/16	J	A	
48.					Buy (add'l)	12/05/16	K		
49. Alger Small/mid cap growth	A	Dividend			Sold	05/03/16	K	A	
50. Munder Mid Cap Core Growth(Victory Mund Mid Cap core gr y)	A	Dividend			Sold	05/03/16	K	A	
51. Ranier mid cap equity	A	Dividend			Sold	10/27/16	K	A	

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. columbia small cap value ii	A	Dividend	K	T	Sold (part)	12/05/16	J	A	
53. Delaware US growth	A	Dividend	K	T	Sold (part)	05/03/16	J	A	
54.					Sold (part)	12/05/16	J	A	
55. T Rowe Price Instl Lrge Cp Gr	A	Dividend			Sold (part)	05/03/16	K	A	
56.					Sold	12/05/16	K	A	
57. Dodge & Cox Stock	A	Dividend	M	T	Sold (part)	05/03/16	K	A	
58.					Sold (part)	09/27/16	J	A	
59. MFS Value	A	Dividend	L	T	Sold (part)	05/03/16	J	A	
60.					Sold (part)	12/05/16	J	A	
61. Artisan Intl Value	A	Dividend	L	T	Sold (part)	12/05/16	J	A	
62. Euro Pacific Growth Fund CI F1	A	Dividend	L	T	Sold (part)	12/05/16	J	A	
63. (Franklin) Mutual Global Discovery CI Z(SAME AS LINE 20)	A	Dividend	L	T					
64. Oppenheimer Intl Growth	A	Dividend	L	T	Sold (part)	10/26/16	J	A	
65.					Sold (part)	12/05/16	J	A	
66. T. Rowe Price Intl Discovery	A	Dividend	K	T	Sold (part)	05/03/16	K	A	
67. Dodge & Cox Income	A	Dividend	L	T					
68.									

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69.									
70. JP Morgan Core Bond	A	Dividend	M	T	Buy (add'l)	05/03/16	K		
71.					Sold (part)	12/05/16	K	A	
72. Loomis Sayles Inv Grade Bd	A	Dividend			Sold	05/03/16	K	A	
73. SmallCap World Fund C1 A	A	Dividend	J	T					
74. Invesco Growth & Income Fund A		None	K	T					
75. Nike	A	Dividend	K	T					
76. EdVest Wells Fargo Moderate Portfolio	A	Dividend	J	T					
77. Walt Disney	A	Dividend	J	T					
78. Putnam Multi-Cap Growth Fund-A		None	J	T					
79. Northwestern Mutual Whole Life Ins.		None	L	T					
80. Oppenheimer Champion Income Fund A	A	Dividend	J	T					
81. PIMCO High Yield Instl	A	Interest	K	T					
82. iShores Russell 1000 Value E TF	A	Dividend	J	T	Buy	06/17/16	J		
83.					Sold (part)	09/27/16	J	A	
84. Vanguard Small Cap Value ETF	A	Dividend	K	T	Buy	06/17/16	J		
85. iShares MSCI EAFE value ETF	A	Dividend	K	T	Buy	06/17/16	K		

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86.					Sold (part)	09/27/16	J	A	
87. American High-Income Muni Bd Cl F-2	A	Int./Div.	J	T	Buy	06/17/16	J		
88. Dodge and Cox International Stock	A	Dividend	K	T	Buy	06/17/16	K		
89.					Sold (part)	09/27/16	J	A	
90. Tax Exempt Bond Fund of America F2	A	Int./Div.	J	T	Buy	06/17/16	K		
91.					Sold (part)	09/27/16	J	A	
92. Vanguard Small Cap Growth	A	Dividend	J	T	Buy	10/04/16	J		
93. Artisan Mid Cap Val Fd Adv Cl	A	Dividend	L	T	Buy	05/03/16	L		
94.					Sold (part)	12/05/16	J	A	
95. Brown Cap Mgmt Samll Co Fd	A	Dividend	K	T	Buy	05/03/16	K		
96.					Sold (part)	09/26/16	J	A	
97.					Sold (part)	12/05/16	J	A	
98. Causeway Intl Value Fund	A	Dividend	K	T	Buy	05/03/16	K		
99. DFA US Small Cap Value Fd	A	Dividend	K	T	Buy	05/03/16	K		
100.					Sold (part)	12/05/16	J	A	
101. iShares S&P Value ETF	A	Dividend	J	T	Buy	12/05/16	J		
102. JP Morgan US Govt MMF	A	Dividend	J	T	Buy	05/03/16	K		

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103.					Sold (part)	12/05/16	K	A	
104. iShares Russell 2000 ETF	A	Dividend	J	T	Buy	12/05/16	J		
105. Vanguard FTSE All-World Ex-US	A	Dividend	J	T	Buy	12/05/16	J		
106. Bridge Bulider Core Bond		None	K	T	Buy	12/05/16	K		
107. Bridge Builder Large Value		None	K	T	Buy	12/05/16	J		
108. Bridge Builder Small Mid Value		None	J	T	Buy	12/05/16	J		
109. Bond Fund of America		None	J	T	Buy	12/05/16	J		
110. Bridge Builder Intl Equity		None	K	T	Buy	12/05/16	K		
111. Franklin Mutual Shares C1 Z		None	J	T	Buy	12/05/16	J		
112. Vanguard FTSE Dev Mkts ETF		None	J	T	Buy	12/05/16	J		
113. Capital World Bd Fd		None	J	T	Buy	12/05/16	J		
114. Bridgwe Builder Lg Growth		None	K	T	Buy	12/05/16	K		
115. PIMCO high yield fund Instl C1		None	K	T	Buy	12/05/16	K		
116. Bridge Builder Core Plus Bond		None	K	T	Buy	12/05/16	K		
117. Bridge Builder Small Mid Growth		None	J	T	Buy	12/05/16	J		
118.									
119.									

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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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 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.									
121.									

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

Part II: The WisPACT trust identified in Part II is an unfunded special needs trust. It contains no assets because it is established as a state-sponsored vehical for a qualifying disabled person to receive inheritances and other gifts without jeopardizing the provision of necessary government benefits.

Part V. The dollar amounts are estimates because the exact amounts are unknown and unavailable.

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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/ **Gerald M. Halfenger**

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
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