

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Duffy, Veronica L.	2. Court or Organization South Dakota--District Court	3. Date of Report 04/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Part-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 515 Ninth Street, #244 Rapid City, SD 57701		
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.	
2.	
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. 2013	Bangs McCullen Pension Plan--parties are myself and Bangs McCullen law firm--terms: self-directed pension fund
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013

self-employed attorney

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Wells Fargo (IRA #1) money market	A	Int./Div.			Closed	09/01/13	J	A	self
2.									
3. Wells Fargo (IRA #2) money market	A	Int./Div.	J	T					
4.									
5. Brokerage Acct--#1									
6. Azure Dynamics Corp (Y)									
7. Coca-Cola Company (Y)									
8. Wells Fargo & Co New (Y)									
9. Famklin Income Fund Class A (Y)									
10. Growth FD America Inc.SHS Class B (Y)									
11.									
12. Brokerage Acct--#2									
13. Azure Dynamics Corp.		None	J	T					
14. Coca-Cola Company	A	Dividend	K	T					
15. Wells Fargo & Co. New	A	Dividend	J	T					
16. Franklin Income Fund Class A	A	Dividend	J	T					
17. Growth FD America Inc. SHS Class B	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 ~\$250,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	L ~\$50,001 - \$100,000 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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18.									
19. Brokerage Acct--#3									
20. Wells Fargo Advisors f/k/a A. G. Edwards, Inc. (same account)	A	Int./Div.	J	T					
21. Azure Dynamics Corp		None	J	T					
22. Walt Disney Company	A	Dividend			Sold	06/13/13	J	A	
23. General Electric Company	A	Dividend			Sold	06/13/13	J	A	
24. Franklin Income Fund Class A	A	Dividend	J	T					
25. American Funds: Investment Co. of America Class A	A	Dividend	J	T					
26. Franklin Income Fund Class C	A	Dividend	J	T	Buy	06/13/13	J		
27. Growth Fund America Class C		None	J	T	Buy	06/13/13	J		
28.									
29. Brokerage Acct--#4									
30. Azure Dynamics Corp.		None	J	T					
31. Franklin Income Fund Class A	A	Dividend	J	T					
32. American Funds: Investment Co. of America Class B	A	Dividend	J	T					
33.									
34. Brokerage Acct--#5									

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	
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35. Euro-Pacific Growth Fund-A	A	Dividend	J	T					
36.									
37. Pension/Brokerage Acct--#6 1st Premier Bank									
38. Goldman Financial Sq. Govt Fund #465	A	Int./Div.	K	T					
39. General Motors Co.		None	M	T					
40. General Electric Co.	B	Dividend	L	T					
41.									
42. Pension/Brokerage Acct--#7 1st Premier Bank									
43. Goldman Financial Sq. Govt Fund #465	A	Int./Div.	K	T					
44. Great Plains Financial Corp.		None	J	T					
45. Fortress Investment Group	B	Dividend	L	T					
46. Blackrock, Inc.	A	Dividend	K	T					
47. Silver Standard Resources		None	K	T					
48. CEL SCI CORP NEW		None	J	T					
49. General Motors Co		None	L	T					
50. General Electric Co	A	Dividend	K	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part II--Agreements

I was previously an employee and partner in the Bangs McCullen Law Firm, during which time I became vested in the pension plan maintained by that law firm. My contributions to the Bangs McCullen pension plan are still in that plan. The investment of my own contributions to this fund are entirely self-directed by me. I cannot add to my pension account with Bangs McCullen. The investments I hold in the Bangs McCullen pension plan are disclosed in Part VII.

As a part-time magistrate judge, I am allowed to conduct private mediations. In 2012, I conducted five such mediations. However, in the year 2013, which is the year covered by this report, I did not conduct any private mediations. Therefore, I have nothing to report in Part III of this report this year.

In Section VII, Brokerage Account Number 1 was owned by [REDACTED], who lived in my household until part way through the year 2012. [REDACTED] did not live with me in any part of the year 2013 covered by this report. Accordingly, [REDACTED] brokerage account was removed from my report as it appeared last year.

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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/ Veronica L. Duffy

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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