

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) Duffin, William E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 05/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate 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 517 E. Wisconsin Ave. Room 296 Milwaukee, WI 53202		
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.		

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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	Darrell A. Francis, SC--wages
2. 2016	Copoulos Dental SC--wages
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. University of Iowa College of Law	March 3-4, 2016	Iowa City, Iowa	Participation as a judge in moot court competition	Hotel
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.			
2.			
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.	Capital One Master Card	Credit Card	J
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. BMO Harris Bank accounts	A	Int./Div.	K	T					
2. Edvest 529 plan									
3. --Age-Based Option 18 & Over					Redeemed	01/05/16	K		
4. --Age-Based Option 18 & Over	C	Int./Div.	L	T					
5. Northwestern Mutual Adjustable Comp Life		None	L	T					
6. IRA #1									
7. --Allianzgi NFJ Dividend Value Fund Class A	A	Int./Div.			Sold	03/23/16	L	A	
8. --American Century Diversified Bond Investor Class	A	Int./Div.			Sold	03/23/16	K	A	
9. --Brown Capital Management Small Company Fund Institutional Class		None			Sold	03/23/16	K	A	
10. --Columbia Acorn International FundClass R4	A	Int./Div.			Sold	03/23/16	K	A	
11. --Delaware Emerging Markets Fund (Institutional Class)	A	Int./Div.			Sold	03/23/16	L	A	
12. --Fidelity Advisor Mid Cap II Fund Class I	B	Int./Div.			Sold	03/23/16	K	A	
13. --Fidelity Advisor New Insights Fund Class I	A	Int./Div.			Sold	03/23/16	M	A	
14. --Hartford World Bond Fund Class I	A	Int./Div.			Sold	03/23/16	K	A	
15. --The Oakmark International Fund Class I	A	Int./Div.			Sold	03/23/16	K	A	
16. --The Oakmark International Small-Cap Fund		None			Sold	03/23/16	K	A	
17. --John Hancock Disciplined Value Mid Cap Fund Class I	A	Int./Div.			Sold	03/23/16	K	A	

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	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000		P4 ~More than \$50,000,000		
(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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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 I (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)

18.									
19. --MFS Value Fund Class I	A	Int./Div.			Sold	03/23/16	M	A	
20. --Northern Small Cap Value Fund	A	Int./Div.			Sold	03/23/16	K	A	
21. --PIMCO Income Fund Class P	A	Int./Div.			Sold	03/23/16	M	A	
22. --PIMCO Commodities Plus Strategy Fund Class P	A	Int./Div.			Sold	03/23/16	L	A	
23.									
24. --T Rowe Price Real Estate	A	Int./Div.			Sold	03/23/16	K	D	
25.									
26. --Templeton Global Bond Fund Advisor Class	A	Int./Div.			Sold	03/23/16	K	A	
27. --Dodge & Cox Income Fund	A	Int./Div.			Sold	03/23/16	L	A	
28.									
29. --Europacific Growth Fund Class F-2	A	Int./Div.			Sold	03/23/16	K	A	
30. --International Growth and Income Fund Class F-2	A	Int./Div.			Sold	03/23/16	K	A	
31. --Metropolitan West Total Return Bond Fund Class I	A	Int./Div.			Sold	03/23/16	K	A	
32. American Funds									
33. --AMCAP Fund-A	A	Int./Div.	J	T					
34. --The Income Fund of America-A	A	Int./Div.	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 = \$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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35. --The Bond Fund of America-A	A	Int./Div.	J	T					
36. --Fundamental Investors-A	A	Int./Div.	J	T					
37. --American Balanced Fund-A (X)	A	Int./Div.	J	T					
38.									
39. IRA #2									
40. --AMCAP Fund Cl A	D	Int./Div.	M	T	Buy	04/07/16	M		
41. --American Balanced Fund Cl A	D	Int./Div.	M	T	Buy	04/07/16	M		
42. --Bond Fund of America Cl A	B	Int./Div.	M	T	Buy	04/07/16	M		
43. --Capital Income Builder Cl A	B	Int./Div.	L	T	Buy	04/07/16	L		
44. --Capital World Bond Fund Cl A	B	Int./Div.	L	T	Buy	04/07/16	L		
45. --Europacific Growth Fund Cl A					Buy	04/07/16	L		
46. --Europacific Growth Fund Cl A					Sold	07/08/16	L		
47. --Fundamental Investors Fund A	B	Int./Div.	L	T	Buy	04/07/16	L		
48. --Growth Fund of America Cl A	D	Int./Div.	M	T	Buy	04/07/16	M		
49. --Income Fund of America Cl A	C	Int./Div.	M	T	Buy	04/07/16	M		
50. --Income Fund of America Cl A			M	T	Buy (add'l)	07/08/16	K		
51. --New World Fund Cl A	A	Int./Div.	L	T	Buy	04/07/16	L		

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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	
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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52. --SMALLCAP World Fund C1 A	A	Int./Div.	M	T	Buy	04/07/16	M		
53. --American Funds Developing World Growth & Income Fund C1 A	A	Int./Div.	K	T	Buy	07/08/16	K		
54.									
55.									

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

With regard to Part VII of the report, there are two clarifications. First, at the end of March 2016 I closed out my IRA with Broker #1 and transferred the money that had been in that IRA into an account at Broker #2. Thus, you see the sale of the various mutual funds that had been held in the IRA with Broker #1 in late March and the purchase of shares in various funds in early April through Broker #2.

Second, regarding the Edvest 529 plans, we had two plans, one for each [REDACTED]. [REDACTED] graduated from college in 2016 and we redeemed the remainder of [REDACTED] Edvest fund in January 2016. [REDACTED] turned 18 in 2016, and so [REDACTED] fund is now also identified as an Age Based Option 18 and Older fund.

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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/ William E. Duffin

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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