

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) WOLLMAN, ROGER L.	2. Court or Organization U.S.C.A.-EIGHTH CIRCUIT	3. Date of Report 04/29/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE (ACTIVE)	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 315 U.S. COURTHOUSE 400 S. PHILLIPS AVENUE SIOUX FALLS, SD 57104-6851		
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.	As a former member of the South Dakota State Judiciary, I have a vested interest in the South Dakota Retirement System. South Dakota (cont'd Part VIII)
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. 2013	Retirement benefits from S.D. Retirement System	\$39,882.54
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.	
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. George Mason University Law & Economics Center	October 6-9, 2013	Arlington, VA	Antitrust Law and Economics Institute for Judges	Meals, lodging
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. Unimproved pasture and crop land in Spink County, SD	E	Rent	O	W					See note in Part VIII
2. Unimproved pasture and crop land in Spink County, SD	B	"	K	W					
3. (own an undivided 1/5 interest as tenant in common)									
4. Undivided 1/5 interest in farmland described immediately	B	"	K	W					
5. above									
6. American Century Investments Select Mutual Fund, IRA	C	Dividend	L	T					
7. Patronage account in South Dakota Wheat-growers Ass'n		None	J	T					
8. Farm Machinery		None	J	W					
9. American Century Investments Select Mutual Fund, IRA	B	Dividend	L	T					
10. American Century Investments Select Mutual Fund	A	Dividend	L	T					
11. Accounts, Wells Fargo Bank	A	Interest	O	T					
12. Vanguard Index Balanced Mutual Fund	A	Dividend	K	T					
13. Vanguard 500 Index Mutual Fund	D	Dividend	O	T	Buy (add'l)	02/11/13	L		
14. Vanguard Total Stock Market Index Mutual Fund	D	Dividend	O	T	Buy (add'l)	02/11/13	L		
15. Northwestern Mutual Life Insurance Co.-Whole Life	D	Dividend	M	T					
16. BlackRidge Financial, Inc. Common		None	L	U					
17. Wells Fargo Investments, Cash Sweep Money Market Mutual Fund	A	Interest	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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	(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. Credit Suisse Tier 1 Capital Notes	B	Dividend			Redeemed	03/28/13	K		
19. HSBC Holdings PLC Perpetual Sub. Capital Securities	C	Dividend	L	T					
20. Vanguard Prime Money Market Fund Mutual Fund	A	Dividend	L	T					
21. Vanguard Div. Apprec. Index Fund Mutual Fund	C	Dividend	M	T	Buy (add'l)	02/11/13	L		
22. Vanguard Inter-term Invest. Grade Mutual Fund	C	Dividend	M	T	Buy (add'l)	02/11/13	K		
23. Blackridge Financial, Inc. Promissory Note	D	Interest	L	T					
24. Pimco Income Fund Mutual Fund	C	Dividend	L	T	Buy	04/26/13	M		

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

Part II: Agreements, continued ...

Codified Laws Chapter 3-12. Upon my resignation from the Supreme Court of South Dakota on September 5, 1985, I left my contributions in the System. I began drawing retirement benefits in May 1989. These benefits will continue until my death. Thereafter, [REDACTED], if she survives me, will receive one-half of the benefits I was receiving at the time of my death.

Part VII: Investments and Trusts

See Line I, B.(2): Rent; Gov't Payments (Conservation Reserve Program payments)

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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/ **ROGER L. WOLLMAN**

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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