

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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) Schreier, Karen E.	2. Court or Organization U.S. District Court, South Dak	3. Date of Report 05/02/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address United States District Court 400 S. Phillips Avenue, Rm. 233 Sioux Falls, SD 57104		
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.	Member Board of Directors	South Dakota Children's Home Society
3.	Member Board of Directors	Federal Judges Association
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. 2012	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. Federal Judges Association	5/8-12/2012	Washington, DC	board of directors meeting	hotel, airfare and meals
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. BROKERAGE ACCOUNT #1 T. Rowe Price									
2. -EQUITY INCOME FUND	B	Dividend	K	T					
3. -GROWTH STOCK FUND	A	Dividend	L	T					
4. -NEW HORIZONS FUND	D	Int./Div.	L	T					
5. -SCIENCE AND TECHNOLOGY FUND		None	K	T					
6. -VALUE FUND	B	Dividend	L	T					
7. IRA ACCOUNT #1 RBC Wealth Management									
8. -Prime Money Market Fund	A	Interest	J	T					
9. -PACIFIC LIFE FDS Optimization Moderate Class C fund	A	Int./Div.	L	T	Buy	06/06/12	J		
10.					Sold (part)	10/18/12	K		
11. -Pimco All Asset Auth Cl C fund	A	Int./Div.	K	T	Buy	10/18/12	K		
12. NEW YORK LIFE INSURANCE CO. - ANNUITY	B	Interest	K	T					
13. NEW YORK LIFE UNIVERSAL LIFE POLICY	A	Dividend	K	T					
14. LINCOLN FINANCIAL GROUP UNIVERSAL LIFE INS. POLICY	A	Dividend	J	T					
15. JEFFERSON NATIONAL UNIVERSAL LIFE INS. POLICY	A	Dividend	J	T					
16. METLIFE INS. CO. LIFE INS. POLICY	A	Interest	K	T					
17. COMMUNITY HEALTH LTD. (2/3 UNIT)	C	Distribution	J	W					

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		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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18. HOME FEDERAL BANK ACCOUNT	A	Interest	K	T					
19. FIRST DAKOTA TITLE INS. LTD. PTR. (1 UNIT)	G	Distribution	N	T					
20. BROKERAGE ACCOUNT #2									
21. - PRIME MONEY MKT FUND	A	Interest	J	T					
22. -ALLIANCE BERNSTEIN MID CAP GROWTH FUND CL C	A	Dividend	K	T					
23. -ALPS ETF TR ALERIAN MLP FUND	A	Dividend	J	T	Buy (add'l)	06/25/12	J		
24. -ALTRIA GROUP INC. COMMON	B	Dividend	K	T					
25. -BERKSHIRE HATHAWAY CL B COMMON		None	L	T					
26. -CITIGROUP INC. COMMON	A	Dividend	J	T					
27. -COCA-COLA COMPANY COMMON	A	Dividend	K	T					
28. -COLGATE-PALMOLIVE COMPANY COMMON	A	Dividend	J	T					
29. -DEERE & CO.-COMMON		None	J	T	Buy	11/21/12	J		
30. -DREYFUS S&P 500 INDEX FUND	A	Dividend			Sold	08/29/12	K		
31. -EMC CORP. MASS COMMON		None	J	T					
32. -GENERAL ELECTRIC COMPANY COMMON	A	Dividend	J	T					
33. -HOME DEPOT INC. COMMON	A	Dividend	J	T					
34. -ING INDEX PLUS MIDCAP FUND CL A	A	Dividend			Merged (with line 35)	07/23/12	J		

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 = \$5,000,001 - \$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. -ING INDEX SMID EQUITY, FKA PLUS SMALLCAP FUND CL A	A	Dividend			Sold	08/29/12	K		
36. -INTEL CORPORATION COMMON	A	Dividend	J	T					
37. -KRAFT FOODS GROUP INC CL A COMMON	A	Dividend	J	T					
38. -MARKET VECTORS ETF BANK & BROKERAGE -ETF FUND	A	Dividend	J	T					
39. -MEDTRONIC INC. COMMON	A	Dividend	K	T					
40. -MERCK & CO. INC. COMMON	A	Dividend	J	T					
41. -MICROSOFT CORP COMMON	A	Dividend	K	T					
42. -MONDELEZ INT. INC.-COMMON		None	J	T	Spinoff (from line 37)	10/05/12	J		
43. -PEPSICO INCORPORATED COMMON	A	Dividend	J	T					
44. -PFIZER INC. COMMON	A	Dividend	J	T					
45. -PHILIP MORRIS INTL INC. COMMON	B	Dividend	L	T					
46. -PROCTOR & GAMBLE CO. COMMON	A	Dividend	J	T					
47. -UIT FIRST TRUST ENERGY PORT. SER. 43-COMMON	A	Dividend	K	T	Buy	07/23/12	K		
48. -3M COMPANY COMMON	A	Dividend	J	T					
49. -VAN ECK FUNDS GLOBAL HARD ASSETS FUND CL C	A	Dividend	J	T					
50. -WALGREEN CO COMMON	A	Dividend	J	T					
51. -WALT DISNEY CO (HOLDING CO) COMMON	A	Dividend			Sold	11/21/12	J	D	

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52. -BP PLC SPONS ADR COMMON	A	Dividend	J	T					
53. -AMERICAN FUNDS EURO PACIFIC GROWTH FD CL A	A	Dividend	K	T					
54. -OPPENHEIMER DEVELOPING MKTS FUND-CL C		None	J	T					
55. -ROYAL DUTCH SHELL PLC COMMON	A	Dividend	J	T					
56. -UIT FIRST TRUST CANADIAN ENERGY 7 INCOME	A	Dividend			Sold	04/12/12	J		
57. -ALLIANCE BERNSTEIN GLOBAL BOND FUND INC CL A	A	Int./Div.	K	T					
58. -EATON VANCE MUTUAL FUND EMERGING MARKETS	A	Int./Div.	K	T	Buy	08/29/12	K		
59. -PIMCO FDS HI YLD CL C	A	Dividend	K	T					
60. -TEMPLETON GLOBAL BOND FUND- CL C	B	Dividend	K	T	Buy	08/29/12	J		
61. -NUVEEN FLAGSHIP ALL-AMERICAN MUNICIPAL BOND FUND CL A	A	Interest	K	T					
62. -THORNBURG LTD TERM MUNICIPAL FUND CL A	A	Interest	K	T					
63. -SO DAK ST. BLD. ATH LES. REV. AMBAC BOND		None	J	T					
64. -MARICOPA CO. IDA SFM ETM AZ BOND		None	J	T					
65. -DESCHUTES & JEFFERSON CNTYS OR SD #02J		None	K	T					
66. -EAST SIDE UHSD CALIF. BOND		None			Sold	09/04/12	J	A	
67. -YUBA CITY CAL. UNI. SCHOOL DIST. BOND		None	J	T					
68. -PENN ST. TPK COMMON TPK TOLL ROADS		None	J	T	Buy	04/20/12	J		

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69. -PENN. ST. TPK COMMON TPK TOLL ROADS BOND		None	J	T					
70. - PIMCO ALL ASSET AUTH CL C FUND	B	Int./Div.	L	T	Buy	08/29/12	K		
71. -LINCOLN NATL LIFE AMER. ANNUITY	A	Interest	J	T					
72. IRA ACCOUNT #2 RBC WEALTH MANAGEMENT									
73. -FEDERATED MONEY MKT FD	A	Interest	J	T					
74. -ADVISORS INNER CIRCLE CHAMPLAIN SMALL CO FD	A	Dividend			Sold	12/04/12	J		
75. -EAGLE SER MID CAP STK FD	A	Dividend			Sold	12/04/12	J		
76. -ISHARES TR RUSSELL MIDCAP INDEX FUND	A	Dividend	K	T	Buy	12/04/12	K		
77. -VANGUARD ADMIRAL FUNDS INC. S & P 500 GROWTH INDEX FUND	A	Dividend	J	T	Buy	12/04/12	J		
78. -VANGUARD ADMIRAL FDS. INC.S & P 500 VALUE INDEX	A	Dividend	K	T	Buy	12/04/12	K		
79. -VANGUARD INTL EQUITY INDEX FUND EMERGING MARKERS	A	Dividend	J	T	Buy	12/04/12	J		
80. -VANGUARD TAX MANAGED FUND ETF	A	Dividend	K	T	Buy	12/04/12	K		
81. -ING. CORP. LEADERS TRUST UNIT PARTR CTF SERV B	A	Dividend			Sold	12/04/12	K		
82. -EATON VANCE INCOME FUND BOSTON INC INST CL	A	Dividend	J	T	Buy	04/09/12	J		
83. -JANUS INVT FD FORTY FD LL I		None			Sold	12/04/12	J		
84. -AMERICAN FUNDS EURO PACIFIC GROWTH FUND CL A		None			Sold	12/04/12	K		
85. -OPPENHEIMER DEV. MKTS. FDS CLY FUND A		None			Buy (add'l)	08/29/12	J		

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86.					Sold	12/04/12	J		
87. -DELAWARE DIVERSIFIED INCOME FUND CL A	A	Dividend			Sold	08/29/12	J		
88. -EATON VANCE GLOBAL MACRO ABSOLUTE RETURN FUND CL I	A	Interest	J	T					
89. -EATON VANCE MUT FDS TR FLTG RATE FD CL A	A	Int./Div.	J	T					
90. -FT TEMPLETON GLOBAL BOND A	A	Interest	J	T	Sold (part)	12/11/12	J		
91. -FRANKLIN INVS. SER. TR REAL ESTATE FD ADVISOR CL	A	Interest	J	T					
92. -LOOMIS SAYLES STRATEGIC INCOME FUND CL A	A	Dividend			Sold	08/29/12	J		
93. -NEUBERGER BERMAN INC. FDS NEW HIGH INCOME BD FD. INV CL	A	Interest	J	T					
94. -FICO STRIPS SERIES E BOND		None	K	T					
95. -US TREAS. SEC. STRPD. BOND		None	K	T					
96. -FHR 21 21-Z I/k/a FEDL. HOME LOAN MTG. CORP. BOND	A	Interest	J	T					
97. BROKERAGE ACCOUNT #3 RBC WEALTH MANAGEMENT									
98. -GALENA PARK IND. BOND		None	K	T					
99. -CLACKMUS & WASHINGTON SERV A BOND		None	K	T					
100. -SOUTHERN MINNESOTA MUNI PWR BOND		None	J	T					
101. -SOUTHERN MN MUN PWR AGY SUPPLY BOND		None	K	T					
102. -PENN ST TPK COMMN TPK TOLL ROADS BOND		None	K	T					

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103. -PRIME MONEY MARKET FUND	A	Interest	J	T					
104. FIRST NATIONAL BANK IN SIOUX FALLS ACCOUNT		None	L	T					
105. FIRST NATIONAL BANK IN SIOUX FALLS ACCOUNT		None	J	T					
106. DOUGHERTY & DOUGHERTY LLP	D	Interest	N	W					
107. DISCOVER BANK ACCOUNT	C	Interest	M	T					
108. BROKERAGE ACCOUNT #4 SCHWAB									
109. -SCHWAB GOVT MMK	A	Interest	K	T	Buy	12/31/12	J		
110. -EATON VANCE NAT MUN COMMON	A	Dividend	J	T					
111. -MARINA BIOTECH INC. COMMON F/ K/A MDRNA INC		None	J	T					
112. -SPECTRASCIENCE COMMON		None	J	T					
113. -US BANCORP DEL COMMON	A	Dividend	J	T					
114. -BANK AMER CORP BOND	A	Interest	J	T					
115. -MORGAN STANLEY DEAN WITTER DISCOVER MED TERM SR NTS	A	Int./Div.			Redeemed	12/31/12	K	A	
116. -MORGAN STANLEY GROUP INC. BOND	A	Interest	J	T					
117. -MORGAN STANLEY GROUP INC. FLOATING RATE NTS	A	Interest	K	T					
118. -BANK OF AMERICA NA CD	A	Interest	J	T					
119. BENEFICIARY SEP IRA #1									

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. -SCHWAB GOVT MMF	A	Dividend	N	T	Buy	11/16/12	N		
121. -RYDEX ETF TRUST S&P 500 EQUAL WT INDX FD	A	Dividend			Buy	01/03/12	M		
122.					Sold	11/16/12	M		
123. -POWERSHS QQQ TRUST	A	None			Buy	01/03/12	M		
124.					Sold	11/16/12	M		
125. BENEFICIARY TRAD IRA #2									
126. -SCHWAB GOVT MONEYMARKET FUND	B	Int./Div.	L	T	Buy (add'l)	11/21/12	J		
127. -POWERSHS QQQ TRUST SER I	A	Dividend			Sold	11/21/12	J		

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.)*

DREYFUS S & P 500 INDEX FUND, ING INDEX SMID CAP EQUITY FUND, AND UIT FIRST TRUST CANADIAN ENERGY 7 INCOME WERE SOLD AT A LOSS. AS A RESULT, NO CAPITAL GAIN WAS REPORTED.

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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/ **Karen E. Schreier**

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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Washington, D.C. 20544