

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2011**

*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 04/27/2012
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 01/01/2011 to 12/31/2011
7. Chambers or Office Address 315 U.S. COURTHOUSE 400 S. PHILLIPS AVENUE SIOUX FALLS, SD 57104-6851		
IMPORTANT NOTES: <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.</i>		

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.

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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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WOLLMAN, ROGER L.	04/27/2012

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2011	Retirement benefits from S.D. Retirement System	\$37,887.72
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.)

[x] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
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.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. University of Cincinnati	March 4-6, 2011	Cincinnati, OH	Judge Moot Court	Transportation, meals, lodging
2.				
3.				
4.				
5.				

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WOLLMAN, ROGER L.	04/27/2012

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.		
2.		
3.		
4.		
5.		

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Name of Person Reporting

WOLLMAN, ROGER L.

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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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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	M	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	K	T					
10.	American Century Investments Select Mutual Fund	A	Dividend	L	T					
11.	Accounts, Wells Fargo Bank	A	Interest	N	T					
12.	Vanguard Index Balanced Mutual Fund	A	Dividend	K	T					
13.	Vanguard 500 Index Mutual Fund	D	Dividend	N	T					
14.	Vanguard Total Stock Market Index Mutual Fund	D	Dividend	N	T					
15.	Northwestern Mututal Life Insurance Co.- Whole Life	D	Dividend	M	T					
16.	BlackRidge Financial 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)

2. Value Codes
(See Columns C1 and D3)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000

E =\$15,001 - \$50,000

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Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/27/2012

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Credit Suisse Tier 1 Capital Notes	C	Interest	L	T					
19. Lehman Bros. Holdings, Inc. Preferred		None	J	T					
20. HSBC Holdings PLC Perpetual Sub. Capital Securities	C	Dividend	L	T					
21. Accounts, Great Western Bank	D	Interest	N	T					
22. Dacotah Bank (CDs)	D	Interest	N	T					

1. Income Gain Codes:
(See Columns B1 and D4)

2. Value Codes
(See Columns C1 and D3)

A = \$1,000 or less
F = \$50,001 - \$100,000
J = \$15,000 or less
N = \$250,001 - \$500,000

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000
K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

C = \$2,501 - \$5,000
H1 = \$1,000,001 - \$5,000,000
L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000

D = \$5,001 - \$15,000
H2 = More than \$5,000,000
M = \$100,001 - \$250,000
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E = \$15,001 - \$50,000

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WOLLMAN, ROGER L.	04/27/2012

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 [REDACTED] 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 1, 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_____

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