

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Halfenger, Gerald M.	2. Court or Organization U.S. Bankruptcy Court, E.D. Wisconsin	3. Date of Report 05/15/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address U.S. Courthouse & Federal Building Room 140 517 East Wisconsin Avenue Milwaukee, WI 53217		
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. President & Immediate Past President	Seventh Circuit Bar Association
2. Co-trustee	Chemical Bank, or its successor, as Trustee of the WisPACT Trust II for the benefit of Matthew R. Halfenger, as amended (unfunded)
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.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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.		
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.)*

DATE	SOURCE AND TYPE
1. 2015	Whitefish Bay School District, wages
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. National Conference of Bankruptcy Judges	09/27/15 - 09/30/15	Miami Beach, FL	continuing legal education, Conference business meeting	lodging, food
2. State Bar of Wisconsin, Bankruptcy, Insolvency, and Creditors' Rights Section	03/05/15- 03/06/15	Kohler, WI	continuing legal education sessions, annual section dinner	lodging, food
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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.	Seventh Circuit Bar Association	Hosing of President's Reception at Annual Meeting of the Bar Assoc. and Judicial Conf	\$2,778.68
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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. Allianz NFJ Large Cap Value	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
2. Blackrock Equity Dividend	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
3. Delaware Select Growth		None	J	T	Sold (part)	02/24/15	J	A	
4. Dodge & Cox Intl Stock	A	Dividend	L	T	Sold (part)	02/24/15	J	A	
5.					Buy (add'l)	11/20/15	J		
6. Franklin Fed Int-Term T/F Inc		None	J	T					
7. Fundamental Investors	A	Dividend	M	T	Sold (part)	02/24/15	J	A	
8.					Sold (part)	11/20/15	J	A	
9. Harbor Capital Appreciation	A	Dividend	L	T	Sold (part)	02/24/15	J	A	
10.					Buy (add'l)	11/20/15	J		
11. Hotchkis & Wiley Mid Cap Val	A	Dividend	K	T	Sold (part)	02/24/15	J	A	
12. Invesco International Growth	A	Dividend	K	T					
13. Invesco Comstock Fd CI Y	A	Dividend	L	T	Sold (part)	02/24/15	J	A	
14. Manning & Napier World Opp	A	Dividend	K	T	Sold (part)	02/24/15	J	A	
15.					Buy (add'l)	11/20/15	J		
16. MFS Municipal Lim Maturity	A	Dividend	J	T					
17. (Franklin)Mutual Global Discovery CI Z	A	Dividend	M	T	Sold (part)	02/24/15	J	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	
	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		

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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 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. Neuberger Berman Mid Cap Gr	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
19. Pioneer Oak Ridge Sm Cap Gr	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
20. T Rowe Price Summit Muni Inc Fd		None	J	T	Sold (part)	02/24/15	J	A	
21. T Rowe Price Tax-Ex Mon Mkt	A	Int./Div.	J	T	Sold (part)	11/20/15	J	A	
22. Thornburg Ltd term muni fund		None	J	T					
23. American Fund Tax Exempt Bond	A	Int./Div.	J	T					
24. Columbia Acorn International	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
25. Eaton Vance Atlanta Cap SMID I	A	Dividend	J	T	Sold (part)	02/24/15	J	A	
26.					Sold (part)	11/20/15	J	A	
27. MFS Growth Fund Cl I	A	Dividend	K	T	Sold (part)	02/24/15	J	A	
28.					Sold (part)	11/20/15	J	A	
29. Primecap Odyssey stock fund	A	Dividend	K	T					
30. American Balanced Fd Cl A-529		None			Closed	02/23/15	K		exchanged
31. Capital Income Builder Fd A-529		None			Closed	02/23/15	K		exchanged
32. New Perspective Fund Cl A-529		None			Closed	02/23/15	K		exchanged
33. Washington Mutual Investment Cl A-529		None			Closed	02/23/15	K		exchanged
34. Amer Fds ClIge Tgt 2018 529-A	A	Dividend	M	T	Open	02/23/15	M		exchanged

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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)

35. JP Morgan Fed Money	A	Dividend	J	T					
36. Alger Small/mid cap growth	A	Dividend	K	T					
37. Munder Mid Cap Core Growth(Victory Mund Mid Cap core gr y)	A	Dividend	K	T					
38. Ranier mid cap equity	A	Dividend	J	T					
39. columbia small cap value ii	A	Dividend	K	T					
40. Delaware US growth	A	Dividend	L	T	Sold (part)	02/24/15	J	A	
41. T Rowe Price Instl Lrge Cp Gr	A	Dividend	K	T					
42. Dodge & Cox Stock	A	Dividend	L	T	Sold (part)	02/24/15	J	A	
43. MFS Value	A	Dividend	M	T					
44. Artisan Intl Value	A	Dividend	L	T					
45. Euro Pacific Growth Fund C1 F1	A	Dividend	L	T					
46. (Franklin) Mutual Global Discovery C1 Z	A	Dividend	L	T					
47. Oppenheimer Intl Growth	A	Dividend	L	T					
48. T. Rowe Price Intl Discovery	A	Dividend	K	T					
49. Dodge & Cox Income	A	Dividend	K	T					
50. JP Morgan Core Bond	A	Dividend	M	T					
51. Loomis Sayles Inv Grade Bd	A	Dividend	K	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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)

52. SmallCap World Fund C1 A	A	Dividend	J	T					
53. Invesco Growth & Income Fund A		None	K	T					
54. Nike	A	Dividend	K	T					
55. EdVest Wells Fargo Moderate Portfolio	A	Dividend	J	T					
56. Walt Disney	A	Dividend	J	T					
57. Putnam Multi-Cap Growth Fund-A		None	J	T					
58. Northwestern Mutual Whole Life Ins.		None	L	T					
59. Oppenheimer Champion Income Fund A	A	Dividend	J	T					
60. PIMCO High Yield Instl	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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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

Part II: The WisPACT trust identified in Part II is an unfunded special needs trust. It contains no assets because it is established as a state-sponsored vehical for a qualifying disabled person to receive inheritances and other gifts without jeopardizing the provision of necessary government benefits.

Part VII: The assets listed in Lines 30-33 were part of a 529 College Savings Account and were together exchanged for the asset listed at Line 34 in the same account.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Halfenger, Gerald M.

Date of Report

05/15/2016

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/ Gerald M. Halfenger**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544