

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) Peterson, James D.	2. Court or Organization District Court - Western Wisconsin	3. Date of Report 8/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - active status	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 120 North Henry Street, Room 560 Madison, WI 53703		
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. Co-Trustee	Trust No. 1.
2.	
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. 1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
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.)*

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. 2016

Associated Banc-Corp - salary and bonus

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. Foley & Lardner LLP

September 16, 2016

Chicago, IL

speak at IP Law Conference

Transportation, hotel 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.)*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. Ally Bank cash account	A	Interest	L	T					
2. Associated Bank cash account	A	Interest	J	T					
3. UW Credit Union cash account	A	Interest	K	T					
4. Associated Banc-Corp Stock	A	Dividend	L	T					
5. BMO Financial Group Stock	A	Dividend	J	T	Sold (part)	04/21/16	K	E	
6. Fidelity National Information Stock	A	Dividend			Sold	04/21/16	J	A	
7. American Funds EuroPacific Growth Fund	A	Int./Div.	J	T					
8. BMO TCH Intermediate Income Fund	A	Int./Div.			Sold	03/30/16	M		
9. Columbia Mid Cap Value Fund	B	Int./Div.	K	T					
10. CREF Stock		None	L	T					
11. Dodge & Cox Stock Fund	C	Int./Div.	K	T					
12. Fidelity Government Money Market Fund	A	Int./Div.	J	T					
13. Fidelity Small Cap Value Fund	A	Int./Div.	J	T					
14. Franklin Templeton Moderate Allocation Fund	A	Int./Div.	L	T					
15. Harbor International Institutional Fund	A	Int./Div.	K	T					
16. Fidelity 500 Index (f/k/a Spartan 500 Index Fund)	C	Int./Div.	M	T					
17. Fidelity Mid Cap Index (f/k/a Spartan Mid Cap Index Fund)	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 \$5,000,000	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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18. Fidelity Small Cap Index (f/k/a Spartan Small Cap Index Fund)	A	Int./Div.	J	T					
19. T. Rowe Price Growth Stock Fund	A	Int./Div.	K	T					
20. Vanguard Institutional Index Fund	C	Int./Div.	M	T					
21. Vanguard Balanced Index Fund	E	Int./Div.	N	T					
22. GK Phenomenelle Fund LLC Membership		None	K	U					
23. Eagle Mid Cap Growth	D	Int./Div.	N	T					
24. Med West Total Return Bond	C	Int./Div.	M	T	Buy	03/30/16	M		
25. PIF LGCP S&P 500 R%	B	Int./Div.	L	T	Buy	12/8/16	L		

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

I. Positions - Trust No. 1 has no reportable assets.

VII. Investments and Trusts - lines 16, 17 and 18 - Spartan Funds were renamed as Fidelity Funds.

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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/ **James D. Peterson**

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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