

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Duffin, William E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 05/08/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse 517 E. Wisconsin Ave. Room 250 Milwaukee, WI 53202		
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. Director	Seventh Circuit Bar Association Foundation
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.	
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. 2018

Darrell A. Francis, SC--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.

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.)*

	<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.	Capital One Master Card	Credit Card	K
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. BMO Harris Bank accounts	A	Int./Div.	J	T					
2. Edvest 529 plan									
3. --Age-Based Option 18 & Over	C	Int./Div.	K	T					
4. Northwestern Mutual Adjustable Comp Life	C	Dividend	L	T					
5.									
6. IRA #1									
7. American Funds									
8. --AMCAP Fund-A	A	Int./Div.	J	T					
9. --The Income Fund of America-A	A	Int./Div.	J	T					
10. --The Bond Fund of America-A	A	Int./Div.	J	T					
11. --Fundamental Investors-A	A	Int./Div.	J	T					
12. --American Balanced Fund-A (X)	A	Int./Div.	J	T					
13.									
14. IRA #2									
15. --American Balanced Fund	A	Dividend	L	T	Sold (part)	09/18/18	K		
16. --American Fundamental Investors Fund	A	Dividend	L	T	Sold (part)	03/26/18	L		
17.					Buy (add'l)	12/21/18	L		

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 H ~\$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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18.					Buy (add'l)	12/26/18	J		
19. --Growth Fund of America	A	Dividend			Sold (part)	03/26/18	L		
20.					Sold (part)	09/18/18	K		
21.					Sold	12/21/18	K		
22. --Income Fund of America	A	Dividend			Sold	03/26/18	L		
23. --SMALLCAP World Fund		None			Sold (part)	03/26/18	K		
24.					Sold (part)	09/18/18	J		
25.					Sold	12/21/18	K		
26. Invesco Diversified Dividend Fund		None			Sold	03/26/18	M		
27. Invesco Comstock	A	Dividend			Buy	03/22/18	L		
28.					Sold (part)	09/18/18	K		
29.					Sold	12/26/18	L		
30. iShares Inc. Core MSCI Emerging Markets	B	Dividend	K	T					
31. iShares MSCI EAFE Fund	C	Dividend	L	T					
32. Hartford Growth Opportunities		None			Sold (part)	09/18/18	K		
33.					Sold	12/26/18	L		
34. Lord Abbett Income Fund	B	Dividend			Sold	03/26/18	M		

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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35. MFS International Growth Fund		None	K	T	Sold (part)	09/18/18	K		
36.					Sold (part)	12/21/18	J		
37. MFS New Discovery Fund		None			Sold	03/26/18	K		
38. MFS Growth		None	L	T	Buy	12/21/18	J		
39.					Buy (add'l)	12/26/18	L		
40. Oppenheimer Global Opportunities Fund		None	K	T	Sold (part)	03/26/18	J		
41.					Sold (part)	09/18/18	J		
42.					Buy (add'l)	12/21/18	J		
43. Oppenheimer Discovery Mid Cap Growth Fund		None			Sold (part)	03/26/18	J		
44.					Sold (part)	09/18/18	K		
45.					Sold (part)	12/21/18	K		
46.					Sold	12/26/18	J		
47. Oppenheimer Developing Markets		None	K	T	Buy	12/21/18	K		
48. Prudential Global Total Return	C	Dividend			Buy (add'l)	03/26/18	K		
49.					Sold (part)	09/18/18	K		
50.					Sold (part)	12/24/18	K		
51.					Sold (part)	12/24/18	L		

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52.					Sold	12/26/18	K		
53. Pgim Jennison Global Opportunities		None	K	T	Buy	12/24/18	K		
54. Pgim Short Duration Multi Sector Bond	B	Dividend	L	T	Sold (part)	09/18/18	K		
55.					Sold (part)	12/26/18	J		
56. Vanguard Dividend Appreciation ETF	B	Dividend	L	T					
57. Vanguard Total BD Market ETF	C	Dividend	M	T	Buy	03/26/18	M		
58. Franklin Dynatech		None	L	T	Buy	03/26/18	L		
59.					Sold (part)	09/18/18	K		
60.					Buy (add'l)	12/26/18	K		
61. JPMorgan Value Advantage	B	Dividend	L	T	Buy	03/26/18	L		
62.					Sold (part)	09/18/18	K		
63.					Buy (add'l)	12/26/18	J		
64. JPMorgan Emerging Markets Equity		None	K	T	Buy	12/26/18	K		
65. Pgim Core Bond Fund	B	Dividend	L	T	Buy	03/26/18	M		
66.					Sold (part)	09/18/18	K		
67.					Sold (part)	12/26/18	K		
68. PGIM Short Term Corporate Bond		None	L	T	Buy	12/24/18	L		

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69. Columbia Acorn Int'l		None	K	T	Buy	12/26/18	K		
70. Columbia Dividend Income		None	L	T	Buy	12/26/18	L		
71. Columbia Limited Duration Credit		None	L	T	Buy	12/26/18	L		
72. Victory Sycamore Established Value		None	K	T	Buy	12/26/18	K		

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

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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/ William E. Duffin

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
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Washington, D.C. 20544