

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) Peterson, James D.	2. Court or Organization District Court - Western Wisconsin	3. Date of Report 12/23/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 120 North Henry Street, Suite 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.)*

<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. 2018	Associated Bank-Corp - salary and bonus
2. 2018	University of Wisconsin Law School - stipend for teaching
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. John Jay College of Law	April 26-27, 2018	New York, NY	Participate on panel at conference on solitary confinement	Travel, lodging, meals
2. Federal Judges Association	May 5-8, 2018	Washington, D.C.	Board of Directors Meeting	Travel, lodging, meals
3. U.S. Department of Justice	June 11-15, 2018	Dar es Salaam, Tanzania	DOJ/State Dept. educational program on plea agreements for Tanzanian gov't officials	Travel, lodging, meals
4. Intellectual Property Owners Association	September 24, 2018	Chicago, IL	Participate on panel on development of patent law at annual conference	Travel, lodging, meals

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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	K	T					
2. Associated Bank cash account	A	Interest	J	T					
3. UW Credit Union cash account	A	Interest	J	T					
4. Associated Banc-Corp Stock	B	Dividend	L	T	Distributed (part)	01/03/18	J		
5.					Open	01/26/18	J		
6.					Open	02/08/18	K		
7.					Sold (part)	02/17/18	L		
8. CREF Stock		None	L	T					
9. Fidelity Government Money Market Fund	A	Int./Div.	J	T					
10. Fidelity Small Cap Value Fund	C	Int./Div.			Sold	09/17/18	J		
11. Harbor International Institutional Fund	C	Int./Div.			Sold	09/17/18	K		
12. Fidelity 500 Index	G	Int./Div.			Sold	09/17/18	O		
13. Fidelity Mid Cap Index	D	Int./Div.			Sold	09/17/18	J		
14. Fidelity Small Cap Index	D	Int./Div.			Sold	09/17/18	K		
15. GK Phenomenelle Fund LLC Membership		None	K	U					
16. Fidelity Core Cash Account	A	Interest	J	T					
17. Fidelity International Index		None			Sold	09/17/18	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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18. Fidelity Total Bond		None			Sold	09/17/18	M		
19. Fidelity Individual Cash Account	A	Interest	L	T					
20. Vanguard Institutional Index (W)	A	Int./Div.	M	T					
21. Vanguard Bond MKT ADM	A	Int./Div.	K	T					
22. Vanguard Target Retirement 2020	A	Int./Div.	L	T					
23. Fidelity Int'l Enhanced Index Fund		None			Buy	01/03/18	M		
24.					Sold	09/17/18	M		
25. Fidelity SAI US Value Index Fund	A	Int./Div.	K	T	Buy	09/18/18	K		
26. Fidelity SAI U.S. Momentum Index Fund	A	Int./Div.	K	T	Buy	09/18/18	K		
27. Fidelity SAI U.S. Large Cap Index	C	Int./Div.	N	T	Buy	09/18/18	N		
28. Fidelity SAI International Index		None			Buy	09/19/18	J		
29.					Sold	12/18/18	J		
30. Fidelity SAI Emerg Markets Index		None			Buy	09/17/18	J		
31.					Sold	12/28/18	J		
32. Fidelity SAI U.S. Quality Index Fund	A	Int./Div.	L	T	Buy	09/18/18	L		
33. FID SAI Small Mid Cap 500 Index Fund		None			Buy	09/17/18	J		
34.					Sold	12/11/18	J		

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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	
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35. Fidelity Strategic Income Fund	A	Int./Div.			Buy	09/18/18	J		
36.					Sold	12/28/18	J		
37. Fidelity US Bond Index Fund		None			Buy	09/17/18	J		
38.					Sold	12/18/18	J		
39. Fidelity Conservative Income Bond Fd	A	Int./Div.			Buy	09/18/18	J		
40.					Sold	12/28/18	J		
41. Strategic Advisers Income Opportunities	A	Int./Div.	K	T	Buy	09/18/18	K		
42.					Sold (part)	12/12/18	J		
43. Fidelity Inflat-Prot Bd Index Fund	A	Int./Div.	J	T	Buy	09/18/18	J		
44.					Sold (part)	12/11/18	J		
45. Fidelity Government Cash Reserves	A	Interest	J	T	Buy	09/28/18	J		
46. IShares Core S&P Small Cap	A	Int./Div.	K	T	Buy	09/19/18	K		
47. IShares TR EAFE Sml Cp	A	Int./Div.	J	T	Buy	09/19/18	J		
48. IShares TR EAFE Grwth ETF		None			Buy	09/19/18	J		
49.					Sold	12/24/18	J		
50. IShares Inc Core MSCI Emerging Mkts		None			Buy	09/17/18	J		
51.					Sold	12/28/18	J		

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52. Select Sector Spdr Tr Energy	A	Int./Div.	K	T	Buy	09/19/18	K		
53. Fidelity Total Bond		None			Buy	01/31/18	J		
54.					Sold	09/17/18	J		
55. Fidelity 500 Index Prem (W)	B	Int./Div.			Buy	04/06/18	J		
56.					Sold	09/17/18	J		

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

Vanguard Balanced Index Fund reported in error on 2017 annual report.

Due to changes in available investment options, effective March 27, 2017, holdings in the Vanguard Balanced Index Fund were transferred to the Vanguard Target Retirement 2020 Fund. The 2017 disclosure reported the correct year-end value of the Vanguard Target Retirement 2020 Fund, but it should have also shown then sales of the holdings in Vanguard Balanced Index Fund.

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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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Washington, D.C. 20544