

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2008

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 04/28/2009
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 01/01/2008 to 12/31/2008
7. Chambers or Office Address 315 U.S. COURTHOUSE 400 S. PHILLIPS AVENUE SIOUX FALLS, SD 57104-6851	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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.		

RECEIVED
2009 MAY -14 A 10:24
FINANCIAL
DISCLOSURE OFFICE

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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. 2008	Retirement benefits from S.D. Retirement System	\$34,736.10
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.	
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. The American Society of International Law	January 29-30	Washington, DC	Meeting-Judicial Adv. Bd.	Transportation, meals, lodging
2. University of Cincinnati	April 4-6	Cincinnati, OH	Moot Court	Transportation, meals, lodging
3. Bar Association of Metropolitan St. Louis	May 15	St. Louis, MO	Bench-Bar Meeting	Meal
4. American University	October 24-26	Washington, DC	Moot Court	Transportation, meals, lodging
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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 Month - Day	(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	B	Dividend	K	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	K	T					
11. Accounts, Wells Fargo Bank	A	Interest	L	T					
12. Vanguard Index Balanced Mutual Fund	A	Dividend	K	T					
13. Vanguard 500 Index Mutual Fund	D	Dividend	M	T					
14. Vanguard Total Stock Market Index Mutual Fund	D	Dividend	M	T					
15. Northwestern Mutual Life Insurance Co.-Whole Life	D	Dividend	M	T					
16. American United Life Insurance Co.-Whole Life	A	Dividend	J	T					
17. BlackRidge Financial Common		None	L	U					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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 P4 = More than \$50,000,000	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
2. Value Codes (See Columns C1 and D3)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	
3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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 Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Accounts, Dacotah Bank	B	Interest	M	T					
19. Accounts, First Dakota National Bank	E	Interest	K	T					
20. Accounts, First National Bank South Dakota				T	Redeemed	1-22	M		
21. First Trust Portfolios LP First Trust Unit 1574, Dividend	C	Dividend	L	T	Buy	2-6	M		
22. & Income Select Closed End Mutual Fund Portfolio									
23. First Trust Unit Portfolios LP First Trust Unit 1589,	C	Dividend	L	T	Buy	2-6	M		
24. Target 10 Mutual Fund									
25. Wells Fargo Investments, Cash Sweep Money Market Mutual Fund	A	Interest	J	T	Buy	2-6	J		
26. Credit Suisse Tier 1 Capital Notes	C	Interest	K	T	Buy	3-25	K		
27. Wells Fargo Inv. Cash Sweep Money	A	Interest	J	T	Buy	4-1	J		
28. Market Obligations Trust Mutual Fund									
29.					Sold	12-16	J		
30. Lehman Bros. Holdings, Inc. Preferred		None	J	T	Buy	4-1	K		
31. HSBC Holdings PLC Perpetual Sub. Capital Securities	C	Dividend	K	T	Buy	4-2	K		
32. Accounts, Great Western Bank		None	N	T	Buy	12-1	N		

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 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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] 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)

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

WOLLMAN, ROGER L.

Date of Report

04/28/2009

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 _____

A large black rectangular redaction box covering the signature.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544