

United States District Court
Western District of Wisconsin
120 North Henry Street
Post Office Box 591
Madison, Wisconsin 53701
August 18, 2004

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FINANCIAL
DISCLOSURE OFFICE

Chambers of
John C. Shabazz
District Judge

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

RE: 2003 Financial Disclosure Report, Amended

Dear Judge Lisi:

This is to acknowledge receipt of your letter dated August 5, 2004 concerning my calendar year 2003 filing.

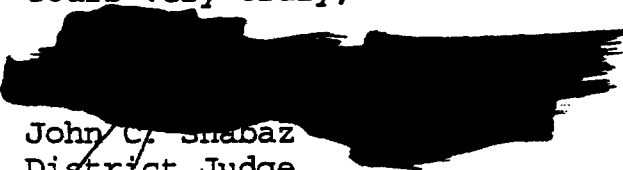
The entry in Part VII, page 1, line 1 from Attachment 1 listed as "General Government Securities" represents the cash equivalent held at R.W. Baird. The entry specifically relating to the amount listed states "Money Market Funds" rather than specific "General Government Securities". This is an asset accumulated during the calendar year 2003.

In Part VII, page 1, lines 8 - 9b, column C(2) should state "R" representing cost rather than "T".

Finally, Part VII, page 2, lines 22, 26 and 27 should have stated as column C(2) "T".

This letter is written for the purpose of amending my 2003 filing with those suggestions you have brought to my attention.

Yours very truly,



John C. Shabazz
District Judge

JCS/mfh

United States District Court

Western District of Wisconsin

120 North Henry Street

Post Office Box 591

Madison, Wisconsin 53701

June 30, 2004

Chambers of
John C. Shabazz
District Judge

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

SELF INITIATED
AMENDMENT

RE: 2003 Financial Disclosure Report, Amended

Greetings:

Please accept this as an amendment to the above Financial Disclosure Report for calendar year 2003:

Section VII, page 1, item 5 AT&T. Delete said entry. All shares were sold on February 8, 2002 and April 17, 2002 as previously reported, deleting partial sale to full.

Very truly,

et Judge

FINANCIAL
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FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2003

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) SHABAZ, JOHN C.	2. Court or Organization U.S. District Court, W.D. Wis.	3. Date of Report 5/7/2004
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE - ACTIVE	5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ☒ Annual ____ Final	6. Reporting Period 01/01/2003 to 12/31/2003
7. Chambers or Office Address U.S. COURTHOUSE PO BOX 591 MADISON, WI 53701	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 Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☐ NONE (No reportable positions.)	
1 Custodian	Bank Mutual Corp., Madison WI, Common Stock (VII 12)
2 Co-Trustee	Irrevocable Trust (VII 16, Attachment 3)
3 Custodian	Funds (VII 17, 18, 24, 25)

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements.)	
1	Stipulation dated 1/3/1985 in which Wisconsin Retirement System benefits have been irrevocably assigned to another (VII 4)
2	Development Agreement dated 5/30/1996 and power of attorney effective thereafter for development and sale of farm where member appointed (VII 8 & 9)

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME
A. Filer's Non-Investment Income		
☒ NONE (No reportable non-investment income.)		
1		\$
2		\$
3		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☒ NONE (No reportable non-investment income.)
1
2

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SECTION HEADING.

Information continued from Parts I through III, inclusive.

PART 1. POSITIONS (cont'd.)

Line	Position	Name of Organization/Entity
4	Co-Trustee	Qualified [REDACTED] trust
5	Co-Trustee	Qualified [REDACTED] trust
6	Co-Trustee	Part VII, 1, trust (Attachment 1)
7	Member/Officer	Eastside Lutheran Church, Madison WI, Treasurer also serving on coordinating council. Having no responsibility for fund raising or investments in accordance with letter of Judge R. Lanier Anderson dated December 14, 1992 docket #927.
8	Member	Madison Club, social club member
9	Member	Cherokee Association, Madison WI, residential association, member.
10	Member	Cherokee Country Club, Madison WI, an athletic social club, member.
11.	Member	Princeton Club, Madison WI, athletic club, member.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

SHABAZ, JOHN C.

Date of Report

5/7/2004

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.*(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>
☒ X	NONE (No such reportable reimbursements.)	
1		
2		
3		
4		
5		
6		
7		

V. GIFTS. *(Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
☒ X	NONE (No such reportable gifts.)		
1			\$
2			\$
3			\$
4			\$

VI. LIABILITIES. *(Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE*</u>
☒ X	NONE (No reportable liabilities.)		
1			
2			
3			
4			
5			

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000
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=\$50,000,001 or more

FINANCIAL DISCLOSURE REPORT

PAGE 1 OF 2

Name of Person Reporting

SHABAZ, JOHN C

Date of Report

5/7/2004

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

Description of Asset (including fund assets)	Income during reporting period		Capital gain/loss during reporting period		Transactions during reporting period				
	(1)	(2)	(3)	(4)	Transaction type and date				
	Amount (A)	Type (B)	Value (C)	Method (D)	Type (E)	Date (F)	Amount (G)	Amount (H)	Identify (I)
☐ NONE (No reportable income,									
1 R.W. Baird & Co., Inc. Trust (Part I, Item 6)	E	Int Div	N	T	Attachment 1				
2 Government Life Ins (VA)	A	Interest	J	T					
3 Federated Utility Fund, Inc. IRA	D	Div Int Cap Gain	L	T		12/31			Required IRA Distr for 2003
4 Wisconsin Retirement Sys.	D	Pension Int Div	K	T					(Part II, 1)
5 AT&T	A	Div.	J	T					
6 U.S. Savings Bonds	A	Interest	J	T					
7 Capital Transamerica Sold in 2002 as previously reported		None							
8 Real Estate, New Berlin, Wisconsin	E	Cap Gain	K	T	Sale	5/18	K	E	Seymour
9 Real Estate, New Berlin, Wisconsin	E	Cap Gain	K	T	Sale	6/5	K	E	Petery
9a Real Estate, New Berlin, Wisconsin	E	Cap Gain	K	T	Sale	6/25	K	E	Anderson
9b Real Estate, New Berlin, Wisconsin	A	None	J	T					(Part III, 2)
10 Wisconsin ST GO SER D 1990 BDS, Higher Ed Ser.	B	Interest	K	T					
11									
12 Bank Mutual Corp.	A	Div Cap Gain	J	T					(Part I, 1)
13 R.W. Baird & Co. TT FBO Aggregate Pension PFT	F	Int Div Cap Gain	O	T	Attachment 2	12/31			Required 401K Distr for 2003
14 First Federal Savings Bank, Madison, WI		Closed 2002							Checking account
15 Spectrum Signal	A	Div	J	T					

1 Income/Gain Codes (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

PAGE 2 OF 2

Name of Person Reporting

SHABAZ, JOHN C

Date of Report

5/7/2004

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A Description of Assets (including trust assets) <i>Exclude (1) either each asset excluded from prior disclosure</i>	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Ann. Code (A-H)	(2) Div. or Int. Code (I-M)	(1) Value Code (J-P)	(2) Value Method Code (Q-W)	(1) Buy/Sell or redemption	(2) Date Month Day	(3) Value Code (J-P)	(4) Ann. Code (A-H)	(5) Identify Buyer/Seller (if private transaction)
☐ NONE (No reportable income,									
16 Irrevocable Trust Aggreg.	E	Int Div	N	T	Attachment 3				(Part I, 2)
17 Massachusetts Investment Trust	A	Int Div	J	T					(Part I, 3)
18 Massachusetts Investment Trust	A	Int Div	J	T					(Part I, 3)
19									
20 Lucent - Sold in 2003		None							
21 Pepisco	A	Div	K	T					
22 Great Midwest Bank, Brookfield, WI 53005	A	Interest	J						Checking account
23									
24 New Economy Fund	A	Int Div	J	T					(Part I, 3)
25 New Economy Fund	A	Int Div	J	T					(Part I, 3)
26 Bank One, Madison, WI	A	Interest	J						Checking account
27 Horicon Banking, Horicon, WI	B	Interest	J						Savings account
28									
29									
30									
31									
32									

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	B=\$1,001-\$2,500 F=\$50,001-\$100,000	C=\$2,501-\$5,000 G=\$100,001-\$1,000,000	D=\$5,001-\$15,000 H=\$1,000,001-\$5,000,000	E=\$15,001-\$50,000 I=\$5,000,001-\$25,000,000
2	Value Codes: J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 N=\$250,001-\$500,000	L=\$50,001-\$100,000 O=\$500,001-\$1,000,000	M=\$100,001-\$250,000 P=\$1,000,001-\$5,000,000	P2=\$5,000,001-\$25,000,000 P4=More than \$50,000,000
3	Value Method Codes: Q=Appraisal (See Col. C2)	R=Cost (real estate only) U=Book value	S=Assessment V=Other	W=Estimated	T=Cash/Market

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

SHABAZ, JOHN C

Date of Report

5/7/2004

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

☐

1. Northwestern Mutual Life Insurance policies.

☐

2. SECTION VII, Items 8, 9, 9a & 9b, Real Estate New Berlin, Wisconsin. Based on comparable sales, assessment and best estimate, present value is none. All sales completed.

ATTACHMENT 1 (PART VII, ITEM 1)
TRUST (PART 1, ITEM 6)

<u>SECURITY</u>	<u>INCOME</u>	<u>AMOUNT and MARKET VALUE</u>
Oracle Corp.	A	K
General Government Securities	A	J

The following purchases took place during the year 2003 and are assets in said trust as of 12/31/03:

<u>DATE</u>	<u>SECURITY</u>	<u>INCOME</u>	<u>AMOUNT and MARKET VALUE</u>
Bought:			
03/24/03	Citigroup Capital VIII C		L
03/24/03	CORTS TR II Bell South 7%	C	L
03/19/03 05/19/03 & 07/17/03	Abbey National PLC 7.25% - 7.375%	D	M
Sold:			
01/23/03 & 02/11/03	WI HLTH & ED FAC PROSPCT CONG HSG VAR RT RV LIQ FAC FIRSTAR WKY PUT OPT CPN 1.750% DUE 01/01/23 DTD 03/03/93 CALL 02/01/02 @ 100.000	B	K
03/17/03	Federal Home Loan Mortgage Corp. REMIC #2454	C	M
03/17/03	Federal Home Loan Mortgage Crop. REMIC #2459	C	M

SHABAZ, JOHN C

Date of Report: 5/7/2004

ATTACHMENT 2 (PART VII, ITEM 13)

Robert W. Baird Self-Directed Pension/Profit Plan and Trust
Robert W. Baird & Co., Inc., Trustee, FBO John C. Shabaz
Keogh Profit Sharing, [REDACTED], Milwaukee, Wisconsin, [REDACTED]

The undersigned, pursuant to appropriate resolution, has previously designated Robert W. Baird & Co., Inc. as trustee of his retirement plan; that all assets of the plan should be invested through an account with Robert W. Baird & Co., Inc. and said company is authorized and directed to perform any and all acts determined in its discretion to be necessary or appropriate to accomplish the intent of the foregoing resolution.

Holdings in said plan as of December 31, 2003 are as follows:

<u>SECURITY</u>	<u>INCOME</u>	<u>MARKET VALUE</u>
Exchange Natl Bk CD 0.000 01/06/06 Chicago IL	C	K
Exchange Natl Bk CD 0.000 02/07/06 Chicago IL	C	L
Lasalle Natl Bank Zero CPN CD 10/31/08	C	L
Lasalle Natl Bank CD Zero Cpn 03/09/04	C	L
Green Tree Finl Corp. Due 02/01/30	C	L
US Bank	A	L

ATTACHMENT 2 (PART VII, ITEM 13)

Page 2

Common Stock as follows:

General Electric Co.	A	K
Johnson & Johnson	A	K
Kohl's Corp.	A	K
Cisco Systems Inc.	A	L
Citigroup, Inc.	A	K
Oracle Corp.	A	J
Pfizer Incorporated	A	K
Amgen	A	K
Citigroup Preferred	B	K
Bell South Cap.	B	K
Merrill Lynch PFD CAP TR	B	K
U.S. Bank, Cash	A	J

The following transactions took place during the year 2003:

<u>DATE</u>	<u>SECURITY</u>	<u>AMOUNT</u>
Bought:		
05/15/03	Merrill Lynch PFD CAP 7.28%	K
07/17/03	Abbey National PLC 7.25% - 7.375%	L

<u>DATE</u>	<u>SECURITY</u>	<u>AMOUNT</u>
Sold:		
07/08/03	Harley Davidson, Inc.	L
12/12/03	MCI Worldcom	J
12/12/03	Amgem (partial)	J
12/12/03	EMC	J
12/12/03	Lucent	J
12/12/03	ADC	J
12/12/03	McData	J
12/12/03	Agere Systems, Inc.	J

SHABAZ, JOHN C
Date of Report 5/7/2004

ATTACHMENT 3 (PART VII, ITEM 16)
Irrevocable Trust (PART I, ITEM 2)

	<u>INCOME</u>	<u>VALUE</u>
Money Mkt & Cash Account, US Bank	A	K
GNMA Pool #305552 8.75% 5/15/11	A	J
GNMA Pool #316399 9.25% 8/15/02	A	J
Maricopa County AZ Revenue Bond	B	K
Prairie du Chien Wis Redev Auth Redev Lease	B	K
IL DEV FIN ATH RV PRVENA HLTH SR A RFDG MBIA B/E due 05/15/23	B	K
WISCONSIN ST HLTH & EDL FACS AUTH RV AMBAC UTD due 12/15/27	C	L
Federal Nat'l Mortgage Assoc.	B	J

Common Stock as follows:

Harley Davidson, Inc.	C	L
Hewlett-Packard	A	J
Intel Corp.	B	K
Microsoft	A	K
Midwest Express Holdings	A	J
Time Warner Inc.	A	J
Tyco	A	J
Agilent	A	J

The following transactions took place during the year 2003:

<u>DATE</u>	<u>SECURITY</u>	<u>AMOUNT</u>
Bought:		
05/15/03	Merrill Lynch PFD CAP 7.28%	K

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

SHABAZ, JOHN C

Date of Report

5/7/2004

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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature

Date May 7, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL PENALTIES (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