

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 09/15/2015
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 01/01/2014 to 12/31/2014
7. Chambers or Office Address U.S. Courthouse 517 E. Wisconsin Ave. Room 296 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. Shareholder--1/1/13 through 3/15/14	Godfrey & Kahn, S.C.
2. Administrator	Estate #1
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	Godfrey & Kahn--wages	\$91,731.61
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. 2014	Darrell A. Francis, SC--wages
2. 2014	Copoulos Dental SC--wages
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.				
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.	Godfrey & Kahn	Contribution to investiture reception	\$1,451.16
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	J
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.	M	T					
2. Edvest 529 plan									
3. --Age-Based Option 18 & Over	B	Int./Div.	K	T	Redeemed (part)	01/14/14	J		
4.					Redeemed (part)	01/14/14	J		
5.					Redeemed (part)	06/18/14	J		
6.					Redeemed (part)	08/05/14	J		
7.					Redeemed (part)	12/22/14	J		
8. --Age-Based Option 15 & Over	B	Int./Div.	K	T					
9. Northwestern Mutual Adjustable Comp Life		None	K	T					
10. IRA #1									
11. --Allianzgi NFJ Dividend Value Fund Class A	B	Int./Div.	L	T					
12. --American Century Diversified Bond Investor Class	B	Int./Div.	K	T					
13. --Brown Capital Management Small Company Fund Institutional Class		None	K	T					
14. --Columbia Acorn International FundClass R4	A	Int./Div.	K	T					
15. --Delaware Emerging Markets Fund (Institutional Class)	A	Int./Div.	L	T					
16. --Fidelity Advisor Mid Cap II Fund Class I		None	K	T					
17. --Fidelity Advisor New Insights Fund Class I	A	Int./Div.	M	T					

1. Income Gain Codes:	A ~\$1,000 or less	B ~\$1,001 - \$2,500	C ~\$2,501 - \$5,000	D ~\$5,001 - \$15,000	E ~\$15,001 - \$50,000
(See Columns B1 and D4)	F ~\$50,001 - \$100,000	G ~\$100,001 - \$1,000,000	H1 ~\$1,000,001 - \$5,000,000	H2 ~More than \$5,000,000	
2. Value Codes	J ~\$15,000 or less	K ~\$15,001 - \$50,000	L ~\$50,001 - \$100,000	M ~\$100,001 - \$250,000	
(See Columns C1 and D3)	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 ~More than \$50,000,000		
3. Value Method Codes	Q ~Appraisal	R ~Cost (Real Estate Only)	S ~Assessment	T ~Cash Market	
(See Column C2)	U ~Book Value	V ~Other	W ~Estimated		

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☐ 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 I (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)

18. --Harbor Bond Fund Institutional Class		None			Sold	10/28/14	K	A	
19. --The Oakmark International Fund Class I		None	K	T					
20. --The Oakmark International Small-Cap Fund		None	K	T					
21. --John Hancock Disciplined Value Mid Cap Fund Class A	A	Int./Div.	K	T					
22. --MFS International Growth Fund Class I		None			Sold	10/10/14	K		
23. --MFS Value Fund Class I	C	Int./Div.	M	T					
24. --Northern Small Cap Value Fund	A	Int./Div.	K	T					
25. --PIMCO Income Fund Class P	C	Int./Div.	L	T					
26. --PIMCO Commodities Plus Strategy Fund Class P	B	Int./Div.	K	T					
27. --Principal High Yield Fund Class A	C	Int./Div.	K	T					
28. --T Rowe Price Real Estate	B	Int./Div.	L	T					
29. --Scout International Fund		None			Sold	10/14/14	K		
30. --Templeton Global Bond Fund Advisor Class	B	Int./Div.	K	T					
31. --Dodge & Cox Income Fund	B	Int./Div.	L	T					
32. --Harbor Real Return Fund Institutional Class	B	Int./Div.	K	T					
33. --Europacific Growth Fund Class F-2	A	Int./Div.	K	T	Buy	10/10/14	K		
34. --International Growth and Income Fund Class F-2	B	Int./Div.	K	T	Buy	10/14/14	K		

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. --Metropolitan West Total Return Bond Fund Class I	A	Int./Div.	K	T	Buy	10/28/14	K		
36. American Funds									
37. --AMCAP Fund-A	A	Int./Div.	J	T					
38. --The Income Fund of America-A	A	Int./Div.	J	T					
39. --The Bond Fund of America-A	A	Int./Div.	J	T					
40. --Fundamental Investors-A	A	Int./Div.	J	T					
41. --American Balanced Fund-A (X)	A	Int./Div.	J	T					
42. Estate #1		None			Closed	06/20/14	K		
43. --BMO Harris Bank									
44. Godfrey & Kahn, S.C. 401(k) Retirement Plan									
45. --BMO Growth Balanced Fund	A	Int./Div.							
46. --T Rowe Price Growth Stock Fund	A	Int./Div.							
47. --BMO Diversified Stock Fund	A	Int./Div.							
48. --Columbia Mid Cap Value Fund	A	Int./Div.							

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

Immediately before commencing my employment as a US Magistrate Judge, I transferred money from a 401(k) account that I held at my former employer (Godfrey & Kahn) into an IRA managed by Northwestern Mutual. I have listed the four funds that my money was in while with the Godfrey & Kahn 401(k) Retirement Plan. Also, Estate #1 was [REDACTED] estate for which I was the administrator. By the end of 2014, it had no reportable assets. The only reportable assets which it held earlier in 2014 was a little cash (approx. \$35,000) in a checking account which was distributed to heirs when the estate was closed in mid-2014. Finally, the American Funds is [REDACTED] 401(k) account. The money is split between five funds. I apparently omitted one when listing them last year, and I have noted that fund with an "X" in Section VII.

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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
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