

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Goodstein, Aaron E.	2. Court or Organization District Court -E.D. Wisconsin	3. Date of Report 08/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time (Recall)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 714 United States Courthouse 517 E. Wisconsin Avenue 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

Name of Person Reporting	Date of Report
Goodstein, Aaron E.	08/05/2020

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

A. Filer's Non-Investment Income

[X] 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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Goodstein, Aaron E.	08/05/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
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.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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. 1. U.S. Bank Savings Accounts	B	Interest	M	T					
2. 2. IRA #1:									
3. a) Proshares S&P 500 Aristocrats ETF	A	Dividend			Sold	06/06/19	K	A	
4. b) I Shares MSCI EAFE Small Cap	A	Dividend			Sold	02/07/19	J	A	
5. c) Select Sector SPDR Trust	A	Dividend			Sold	07/10/19	J	A	
6. d) SPDR SER TR	A	Dividend			Sold	03/13/19	J	A	
7. e) Vanguard Mega Cap Growth ETF	A	Dividend			Sold	03/13/19	J	A	
8. f) Cohen & Steers PFD Secs	A	Dividend	J	T					
9. g) DoubleLine FDS TR	A	Dividend	J	T					
10. h) Eaton Vance Atlantic Cap	A	Dividend	J	T					
11. i) Harding Loevner Funds Inc	A	Dividend			Sold	02/07/19	J	A	
12. j) Pimco Income FD	A	Dividend	J	T					
13. k) Calamos Invt Tr New Phineus	A	Dividend			Sold	07/10/19	J	A	
14. l) Advisors SER TR	A	Dividend	J	T					
15. m)Polen Growth Fd		None	J	T	Buy	03/14/19	J		
16. n) WCM Focused Int'l Growth	A	Dividend	J	T	Buy	02/08/19	J		
17. o) Ishares Gold Trust		None	J	T	Buy	07/11/19	J		

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 5 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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)
18. Brokerage Account #1:									
19. a) Berkshire Hathaway		None	K	T					
20. b) JP Morgan TR 1	A	Interest	J	T					
21. c) Chevron Corp.	A	Dividend	J	T					
22. d) Proshares S&P 500 Aristocrats ETF	A	Dividend			Sold	06/06/19	L	E	
23. e) Eaton Vance Atlanta Cap	A	Dividend	K	T					
24. f) IShares MSCI EAFE Small Cap	A	Dividend			Sold	02/07/19	J	A	
25. g) Select SPDR Trust n/k/a Select Sector SPDR Trust	A	Dividend			Sold	07/10/19	J	A	
26. h) SPDR SER TR	A	Dividend			Sold	03/13/19	J	A	
27. i) Vanguard Mega Cap Growth ETF	C	Dividend			Sold	03/13/19	K	D	
28. j) Cohen & Steers PFD SECS	A	Dividend	J	T					
29. k) Doubleline FDS TR	A	Dividend	K	T					
30. l) Harding Loevner Funds, Inc.	A	Dividend			Sold	02/07/19	J	A	
31. m) Pimco Income FD	A	Dividend	K	T					
32. n) Calamos Invt TR New Phineas	A	Dividend			Sold	07/10/19	J	A	
33. o) Advisors SER TR	A	Dividend	K	T					
34. p) Polen Growth Fd		None	K	T	Buy	03/14/19	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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)
35. q)WCM Focused Int'l Growth	A	Dividend	K	T	Buy	02/08/19	K		
36. r) IShares Gold Trust		None	K	T	Buy	07/11/19	K		
37. Brokerage Account #2									
38. a) Exxon Mobile Corp	A	Dividend	K	T					
39. b) Johnson & Johnson	A	Dividend	K	T					
40. c) Simon Property Group Inc, New	B	Dividend	K	T					
41. d) U.S. Bancorp DE New	A	Dividend	K	T					
42. e) Universal Health Realty Income Trust Shares Beneficial In	A	Dividend	K	T					
43. f) Verizon Communications, Inc	A	Dividend	J	T					
44. g) Washington Mutual Company	A	Dividend	J	T					
45. h Fidelity National Information Services	A	Dividend	K	T					
46. i) Walgreen Boots Alliance Inc	A	Dividend	J	T					
47. j) Washington Prime Group Inc	A	Dividend	J	T					
48. k) WMI Holdings	A	Dividend	J	T					
49. l) Proshares S&P 500 Aristocrats ETF	B	Dividend			Sold	06/06/19	K		
50. m) IShares MSCI EAFE Small Cap	A	Dividend			Sold	02/07/19	J	A	
51. n) Select Sector SPDR Trust	A	Dividend	J	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		

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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)
52. o) Cohen & Steers PFD SECS	A	Dividend	J	T					
53. p Doubleline FDS TR	A	Dividend	K	T					
54. q) Eaton Vance Atlanta Cap	A	Dividend	J	T					
55. r) Harding Loevner Fund Inc	A	Dividend			Sold	02/07/19	J	A	
56. s) Pimco Income FD	B	Dividend	K	T					
57. t) Calamos INVT TR New Phineas	A	Dividend			Sold	07/10/19	J	A	
58. u) Advisors SER TR	A	Dividend	J	T					
59. v) WCM Focused Int'l Growth	A	Dividend	K	T	Buy	02/08/19	K		
60. w) IShares Gold Trust		None	J	T	Buy	07/11/19	J		
61. IRA #2									
62. a) JP Morgan CC	A	Interest	J	T					
63. b) Proshares S&P500 Aristocrats ETF	B	Dividend			Sold	06/06/19	K	D	
64. c) Vanguard Mega Cap Growth	A	Dividend	J	T					
65. d) IShares MSCI EAFE Small Cap	A	Dividend			Sold	02/07/19	J	A	
66. e) Select Sector SPDR Trust	A	Dividend			Sold	07/10/19	J	A	
67. f) SPDR SER TR	A	Dividend	J	T					
68. g) Cohen & Steers PFD SECS	A	Dividend	J	T					

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	

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. h) Doubleline FDS TR	A	Dividend	J	T					
70. i)Eaton Vance Atlanta Cap	C	Dividend	K	T					
71. j) Harding Loevner Funds Inc	A	Dividend			Sold	02/07/19	J	A	
72. k) Pimco Income FD	A	Dividend	K	T					
73. l) Polen Growth Fd		None	J	T	Buy	03/14/19	J		
74. m) WCM Focused Int'l Growth	A	Dividend	J	T	Buy	02/18/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

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

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Goodstein, Aaron E.

Date of Report

08/05/2020

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/ Aaron E. Goodstein**

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
One Columbus Circle, N.E.
Washington, D.C. 20544