

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) Crabb, Barbara B.	2. Court or Organization U.S. District Court, Western District of Wisconsin	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior District Judge	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 120 North Henry Street Suite 540 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Facktor-Mervis charitable foundation
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.	

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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. 2019	Wisconsin Department of Employee Trust Funds
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.				
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.)

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.		

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Name of Person Reporting

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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)	(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)
1. AXA Variable Life Ins Annuity (formerly Equitable Life) comprising:									
2. - EQ/Int'l Equity			K	T					
3. - AXA Int'l Core Volatility			K	T					
4. - EQ/Equity 500 Index			K	T					
5. -EQ/Mid Cap Index			J	T					
6. - EQ/Small Company			J	T					
7.									
8. Ed Vest -529 College Savings Plan (Balanced Portfolio 3437-Med. Risk)	A	Dividend	L	T					
9.									
10. First Trust North American (EMLP)	B	Dividend	J	T	Buy (add'l)	11/19/19	K		
11.					Sold (part)	11/27/19	J		
12.					Sold (part)	11/27/19	J		
13.									
14. Harding Loevner Intl Eqty (HLMIX)	A	Dividend	J	T	Sold (part)	04/24/19	J	A	
15.					Sold (part)	04/24/19	J	A	
16.					Sold (part)	11/27/19	J	A	
17.					Sold (part)	11/27/19	J	A	

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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	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)
18.									
19. Home Savings & Loan	A	Interest	K	T					
20.									
21. Ishares Edge MSCI Min Vol (EFAV)	C	Dividend	K	T					
22.									
23. ishares Edge MSCI Emerg Mkt Min.Vol (EEMV)	C	Dividend	K	T					
24.									
25. Ishares Russell Midcap ETF (IWP) (G)	A	Dividend	K	T	Sold (part)	04/24/19	J	A	
26.					Buy (add'l)	04/24/19	J		
27.									
28. Ishares Russell Midcap (IWS) (V)	A	Dividend	K	T	Sold (part)	11/27/19	J		
29.									
30. Ishares Russell 1000 Growth Index (IWF)	C	Dividend	N	T	Sold (part)	04/24/19	J	A	
31.					Sold (part)	04/24/19	J	A	
32.					Sold (part)	11/27/19	J	A	
33.					Sold (part)	11/27/19	J	A	
34.									

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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	P2 =\$5,000,001 - \$25,000,000	
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	(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. Ishares Russell 1000 Value (IWD)	D	Dividend	J	T					
36.									
37. Ishares Russell 2000 Growth Fund (IWO)	D	Dividend	K	T	Buy (add'l)	04/24/19	J		
38.									
39. Ishares Russell 2000 Value (IWN)	A	Dividend	K	T					
40.									
41. Lazard Emerg Mkts Core EQ (EMBIX)	A	Dividend	J	T	Sold (part)	04/24/19	J	A	
42.					Sold (part)	04/24/19	J	A	
43.					Sold (part)	11/27/19	J	A	
44.					Sold (part)	11/27/19	J	A	
45.									
46. Lazard Int'l Strat EQ (LISIX)	A	Dividend	K	T	Sold (part)	04/24/19	J	A	
47.					Sold (part)	04/24/19	J	A	
48.					Sold (part)	11/27/19	J	A	
49.					Sold (part)	11/27/19	J	A	
50.									
51. Met Life	A	Dividend	J	T					

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52.									
53. Morgan Stanley Private Bank NA (MSPBNA)	A	Interest	L	T					
54.									
55.									
56. Nuveen Int Dur Muni Bond (NUVBX)	D	Dividend	N	T	Buy (add'l)	05/06/19	K		
57.					Buy (add'l)	11/07/19	J		
58.									
59. Nuveen Ltd Term Muni Bd (FLTRX)	D	Dividend	N	T					
60.									
61. Oakmark (OAYMX/OAKMX) f/n/a Oakmak Fund Advisor	A	Dividend	J	T	Buy (add'l)	04/24/19	J		
62.					Buy (add'l)	04/24/19	J		
63.					Sold (part)	11/27/19	J	A	
64.					Sold (part)	11/27/19	J	A	
65.									
66. SPDR Doubleline Tr Tact ETF (TOTL)	A	Dividend	K	T	Buy (add'l)	11/07/19	J		
67.									
68. Synchrony Bank Acct	B	Interest	M	T					

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69.									
70. UW Credit Union	A	Interest	K	T					
71.									
72. Vanguard Municipal Fund	A	Interest			Sold	11/02/19	K	A	
73.									
74. Vanguard European MSCI ETF (VGK)	C	Dividend	J	T					
75.									
76. WisdomTree Trust Japan Hedge EQ (DXJ)	B	Dividend	J	T					
77.									
78. Angel Oak Multi Strat Inc (ANGIX)	A	Dividend			Sold (part)	04/24/19	J	A	
79.					Sold (part)	04/24/19	J	A	
80.					Sold (part)	11/27/19	J	A	
81.					Sold	11/27/19	J		
82.									
83. PIMCO Enhanced Short Term Market	C	Dividend	M	T					
84.									
85. Fuller and Thaler Behavioral Small Cap Equity (FTHSX)	A	Dividend			Buy (add'l)	04/24/19	J		

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86.			J	T	Sold (part)	04/24/19	J		
87.					Sold (part)	11/27/19	J	A	
88.					Sold (part)	11/27/19	J	A	
89.									
90. Blackstone Alt Mult Strat Inst. (BXMIX)	A	Dividend	K	T	Sold (part)	04/24/19	J	A	
91.					Sold (part)	04/24/19	J	A	
92.					Sold (part)	11/27/19	J	A	
93.					Sold (part)	11/27/19	J		
94.									
95. Pioneer Mult Asset Ultrashort Income (MYFRX)	A	Dividend	J	T	Sold (part)	04/24/19	J	A	
96.					Sold (part)	04/24/19	J	A	
97.					Sold (part)	11/27/19	J	A	
98.					Sold (part)	11/27/19	J	A	
99.									
100. Western Asset Core (WACPX)	A	Dividend	J	T	Sold (part)	04/24/19	J	A	
101.					Sold (part)	04/24/19	J	A	
102.					Sold (part)	11/27/19	J	A	

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103.									
104. Ishares National Muni Bond (MUB)	B	Dividend	L	T					
105.									
106. First Trust Preferred Securities (FPE) (*) Y					Sold	12/03/18			
107.									
108. Ishares MSCI Japan (EWJ) (**) Y									
109.									
110. Pimco Enhanced Short Maturity (MINT)	A	Dividend	K	T					
111.									
112. Wisdomtree Emerging Markets (XSOE)	A	Dividend	J	T	Buy (add'l)	04/24/19	J		
113.					Buy (add'l)	04/24/19	J		
114.					Sold (part)	11/27/19	J	A	
115.					Sold (part)	11/27/19	J		
116.									
117. Vanguard Dividend Appreciation (VIG)	A	Dividend	J	T	Sold (part)	04/26/19	J	A	
118.					Sold (part)	04/24/19	J	A	
119.					Sold (part)	11/27/19	J	A	

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(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		
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120.					Sold (part)	11/27/19	J	A	
121.									
122. Alerian MLP (AMLPL)	A	Dividend	J	T					
123.									
124. Ishares S&P US Preferred Stock Index Fund (PFF)	A	Dividend	J	T					
125.									
126.									

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

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Name of Person Reporting

Crabb, Barbara B.

Date of Report

05/12/2020

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

In reviewing the report, you will notice that in some places, I have reported more than one divided or more than one sale or purchase on the same date. This may look like an unintended duplication, but it is actually a consequence of having four separate funds, each with a separate purpose. One of the consequences of this arrangement is that the sales, purchases and dividend payments for each fund do not necessarily occur on the same dates. I considered lumping them together, regardless of the date paid, but decided that this created more complexity than clarity.

* line 106; final sale was in 2018

** line 108; Final sale was in 2018

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Crabb, Barbara B.

Date of Report

05/12/2020

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/ **Barbara B. Crabb**

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