

**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) Duffy, Veronica L.	2. Court or Organization South Dakota--District Court	3. Date of Report 01/23/2020
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	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 400 S. Phillip Avenue Sioux Falls, SD 57104		
IMPORTANT NOTES: <i>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>		

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
Duffy, Veronica L.	01/23/2020

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
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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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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. Individual Assets (H)									
2. Wells Fargo (various accounts)	A	Interest	L	T					
3. Brokerage Acct #1 (H)									
4. Fundamental Inv. Inc. CL C (AFICX) (Y)									
5. Brokerage Acct #2 (H)									
6. American Funds, Growth Fund of America Class C (GFACX)	A	Dividend			Sold	09/03/19	J	A	
7. Hartford Mut Fds Inc Balanced Income Fd Cl C (HBLCX)	A	Dividend	J	T	Sold (part)	01/07/19	J		
8.					Sold (part)	01/23/19	J		
9. Brokerage Acct #3 (H)									
10. Franklin Income Fund Class A (FKINX)	A	Dividend	J	T					
11. American Funds: Investment Co. of America Class A (AIVSX)	B	Dividend	K	T					
12. IRA #1 (H)									
13. Goldman Financial Sq. Govt Fund #465 (FGTXX) (cash/sweep account)	A	Int./Div.	J	T					
14. Capital One Financial Corp (COF)	A	Dividend			Sold	01/07/19	J	A	
15. Emerson Electric Co. (EMR)	A	Dividend	J	T					
16. General Electric Co. (GE)	A	Dividend	J	T					
17. General Motors Co. (GM)	A	Dividend	K	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)
18. Lamar Advertising Co Class A (LAMR)	A	Dividend	K	T					
19. Merck & Co. Inc. (MRK)	A	Dividend	J	T					
20. Proctor & Gamble Co. (PG)	A	Dividend	J	T					
21. United Technologies Corp. (UTX)	A	Dividend	J	T	Sold (part)	12/23/19	J	B	
22. Wells Fargo & Co. New (WFC)	A	Dividend	J	T					
23. Dodge & Cox Int'l Stock Fund (DODFX)	A	Dividend	K	T	Sold (part)	01/04/19	J		
24. Vanguard Industrials Index Admiral Shares (VINAX)	A	Dividend	K	T	Sold (part)	01/04/19	J		
25. Vanguard Mid Cap Index Admiral Shares (VIMAX)	A	Dividend	K	T	Sold (part)	01/04/19	J	A	
26.					Sold (part)	08/13/19	J		
27. JPM Undiscovered Managers Behavior Select (UBVLX)	A	Dividend	K	T	Sold (part)	01/04/19	J		
28. Guggenheim Total Return Bond Institutional (GIBIX)	B	Dividend	K	T					
29. Pimco Income Fund - I Shares (PIMIX)	B	Dividend	K	T					

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

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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/ Veronica L. Duffy**

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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