

FINANCIAL DISCLOSURE REPORT
FINAL FILING

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) Jones, David E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 10/25/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - Full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2019 to 09/30/2019
	5b. ☐ Amended Report	
7. Chambers or Office Address 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Jones, David E.

Date of Report

10/25/2019

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	UW Hospitals & Clinics Salary
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.				

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.			
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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Jones, David E.

Date of Report

10/25/2019

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. TD Ameritrade Revocable Trust Account (H)									
2. TD Ameritrade Cash Equivalent (FDIC Insured Account)	A	Interest	J	T					
3. DFA Tax Managed US Targeted Value Mutual Fund	A	Dividend	J	T					
4. DFA US Small Cap I Mutual Fund	A	Dividend	K	T					
5. DFA US Large Cap Value I Mutual Fund	A	Dividend	L	T					
6. DFA US Large Cap Equity Mutual Fund	A	Dividend	L	T	Sold (part)	01/24/19	K		
7.					Sold (part)	07/10/19	J		
8. Powershares FTSE RAFI US 1000 ETF	A	Dividend	K	T	Sold (part)	01/24/19	J		
9. Oppenheimer Global Y Mutual Fund		None	L	T					
10. Tweedy Browne Worldwide High Dividend Yield Mutual Fund	A	Dividend	K	T	Sold (part)	07/10/19	J		
11.					Sold (part)	09/13/19	J		
12. DFA Emerging Markets Value Mutual Fund	A	Dividend	J	T					
13. Oppenheimer Developing Markets Y Mutual Fund		None	J	T					
14. American Funds Limited Term Tax Exempt Bond F-2 Mutual Fund	A	Dividend	K	T	Buy (add'l)	09/13/19	J		
15. American Funds High-Income Municipal Bond F-2 Mutual Fund	A	Dividend	K	T					
16. AMG GW&K Municipal Bond I Mutual Fund	B	Dividend	L	T	Sold (part)	01/24/19	K		
17.									

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

Jones, David E.

Date of Report

10/25/2019

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. TD Ameritrade IRA (H)									
19. TD Ameritrade Cash Equivalent (FDIC Insured Account)		None	J	T					
20. DFA US Targeted Value Mutual Fund	B	Dividend	M	T					
21. DFA US Small Cap I Mutual Fund	A	Dividend	L	T					
22. DFA US Large Cap Value I Mutual Fund	C	Dividend	N	T	Sold (part)	09/13/19	J		
23. PIMCO RAE Fundamental Plus I Mutual Fund	C	Dividend	M	T					
24. DFA International Value I Mutual Fund	A	Dividend	K	T					
25. DFA International Small Cap Value Mutual Fund	A	Dividend	J	T					
26. DFA International Small Cap Mutual Fund	A	Dividend	J	T					
27. DFA Large Cap International I Mutual Fund	A	Dividend	K	T					
28. Oppenheimer Global Y Mutual Fund		None	K	T					
29. Tweedy Browne Global Value Mutual Fund		None	K	T					
30. American Funds New World F-2 Mutual Fund		None	K	T	Buy (add'l)	09/13/19	J		
31. DFA Emerging Markets Small Cap Mutual Fund	A	Dividend	J	T					
32. DFA Emerging Markets Mutual Fund	A	Dividend	J	T					
33. DFA Emerging Markets Value Mutual Fund	A	Dividend	K	T					
34. Oppenheimer Developing Markets Y Mutual Fund		None	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Jones, David E.

Date of Report

10/25/2019

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. Fidelity Total Bond Z Mutual Fund	B	Dividend	L	T					
36. PIMCO Income Inst Mutual Fund	D	Dividend	M	T	Sold (part)	09/13/19	J		
37. FPA New Income Mutual Fund	A	Dividend	K	T	Sold (part)	02/04/19	J		
38.					Sold (part)	02/07/19	K		
39.					Sold (part)	04/23/19	J		
40.					Sold (part)	07/24/19	J		
41.					Buy (add'l)	09/13/19	J		
42. FPA Flexible Fixed Income Mutual Fund	A	Dividend	K	T	Buy	02/07/19	K		
43.									
44. TD Ameritrade Spouse IRA (H)									
45. TD Ameritrade Cash Equivalent (FDIC Insured Account)		None	J	T					
46. DFA US Targeted Value Mutual Fund	A	Dividend	J	T					
47. DFA US Small Cap I Mutual Fund	A	Dividend	K	T					
48. PIMCO RAE Fundamental Plus I Mutual Fund	A	Dividend	K	T					
49. Oppenheimer Global Y Mutual Fund		None	K	T					
50. Tweedy Browne Global Value Mutual Fund		None	J	T					
51. PIMCO Income Inst Mututal Fund	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Jones, David E.

Date of Report

10/25/2019

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. FPA New Income Mutual Fund	A	Dividend	J	T	Sold (part)	02/04/19	J		
53.					Sold (part)	02/07/19	J		
54.					Sold (part)	04/23/19	J		
55.					Sold (part)	07/24/19	J		
56. FPA Flexible Fixed Income Mutual Fund	A	Dividend	J	T	Buy	02/07/19	J		
57.									
58. UW Credit Union Money Market Savings Account	A	Interest	K	T					
59. UW Credit Union Checking & Savings Accounts	A	Interest	K	T					
60.									
61. University of Wisconsin TIAA CREF 403(b) Retirement Plan									
62. CREF Stock		None	K	T					
63. CREF Growth		None	L	T					
64. CREF Equity Index		None	K	T					
65. CREF Global Equities		None	K	T					
66. CREF Bond Market	A	Dividend	K	T					
67. CREF Social Choice		None	K	T					
68.									

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	

Table with 2 columns: Name of Person Reporting, Date of Report. Row 1: Jones, David E., 10/25/2019

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.)

Table with 10 columns: A. Description of Assets, B. Income during reporting period, C. Gross value at end of reporting period, D. Transactions during reporting period. Rows 69-77 list various mutual funds and their corresponding income and transaction data.

Table with 6 columns: 1. Income Gain Codes, 2. Value Codes, 3. Value Method Codes, and their corresponding definitions (A through W).

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting	Date of Report
Jones, David E.	10/25/2019

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Jones, David E.

Date of Report

10/25/2019

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/ **David E. Jones**

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