

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) Duffin, William E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 05/08/2020
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 U.S. Courthouse 517 E. Wisconsin Ave. Room 250 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. Director	Seventh Circuit Bar Association Foundation
2.	
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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Name of Person Reporting

Duffin, William E.

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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	Darrell A. Francis, SC--wages
2. 2019	Dr. Andrew Patterson, DDS--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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Duffin, William E.	05/08/2020

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. Capital One Master Card	Credit Card	K
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. BMO Harris Bank accounts	A	Int./Div.	J	T					
2. Edvest 529 plan									
3. --Age-Based Option 18 & Over	C	Int./Div.	K	T					
4. Northwestern Mutual Adjustable Comp Life	C	Dividend	L	T					
5.									
6. IRA #1									
7. American Funds									
8. --AMCAP Fund-A	A	Int./Div.	J	T					
9. --The Income Fund of America-A	A	Int./Div.	J	T					
10. --The Bond Fund of America-A	A	Int./Div.	J	T					
11. --Fundamental Investors-A	A	Int./Div.	J	T					
12. --American Balanced Fund-A (X)	A	Int./Div.	J	T					
13. IRA #2									
14. --American Balanced Fund	A	Dividend			Sold	05/29/19	L		
15. --American Fundamental Investors Fund	A	Dividend			Sold	05/29/19	L		
16. --iShares MSCI EAFE ETF		None			Sold	01/02/19	L		
17. --iShares Core MSCI Emerg Mkts ETF		None			Sold	01/02/19	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	

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Name of Person Reporting

Duffin, William E.

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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 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. MFS International Growth Fund		None			Sold	05/29/19	L		
19. MFS Growth		None			Sold	05/29/19	M		
20. Oppenheimer Global Opportunities Fund		None			Sold	05/30/19	K		
21. Oppenheimer Developing Markets		None			Sold	05/30/19	K		
22. Pgim Jennison Global Opportunities		None			Sold	05/28/19	K		
23. Pgim Short Duration Multi Sector Bond	A	Dividend			Sold	05/29/19	L		
24. Vanguard Divid Apprc ETF		None			Sold	01/02/19	L		
25. Vanguard Total BD Market ETF	A	Dividend			Sold (part)	01/02/19	M		
26.					Sold	05/29/19	J		
27. Franklin Dynatech		None			Sold	05/29/19	L		
28. JPMorgan Value Advantage		None			Sold	05/28/19	L		
29. JPMorgan Emerging Markets Equity		None			Sold	05/29/19	K		
30. Pgim Core Bond Fund	A	Dividend			Sold	05/29/19	L		
31. PGIM Short Term Corporate Bond	A	Dividend			Sold	05/29/19	L		
32. Columbia Acorn Int'l		None			Sold	05/29/19	K		
33. Columbia Dividend Income	A	Dividend			Sold	05/29/19	L		
34. Columbia Limited Duration Credit	A	Dividend			Sold	05/29/19	L		

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	
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35. Victory Sycamore Established Value	A	Dividend			Sold	05/29/19	L		
36. IShares TR Core US Aggregate BD ETF	B	Dividend	L	T	Buy	05/29/19	L		
37. Artisan High Income Fund Advisor Shares	C	Dividend	L	T	Buy	05/29/19	L		
38.					Buy (add'l)	06/04/19	J		
39. Artisan Global Opportunities Fund Advisor Shares	A	Dividend	L	T	Buy	05/29/19	L		
40.					Buy (add'l)	06/04/19	J		
41. Blackrock Commodity Strategies Fund Institutional Class	A	Dividend	K	T	Buy	05/29/19	K		
42.					Buy (add'l)	06/04/19	J		
43. IShares Inc. MSCI Eurozone ETF	A	Dividend	K	T	Buy	05/29/19	K		
44. Fidelity Advisor Total Bond Fund Class 1	B	Dividend	L	T	Buy	05/29/19	L		
45.					Buy (add'l)	06/04/19	J		
46. IShares TR Core MSCI EAFE ETF	C	Dividend	L	T	Buy	05/29/19	L		
47. IShares TR S&P 500 Value ETF	B	Dividend	L	T	Buy	05/29/19	L		
48. Janus Henderson Small Cap Value Fund Class 1	A	Dividend	K	T	Buy	05/29/19	K		
49. Matthews Pacific Tiger Fund Investor Class	A	Dividend	L	T	Buy	05/29/19	L		
50.					Buy (add'l)	06/04/19	J		
51. MFS International New Discovery Fund Class 1	A	Dividend	K	T	Buy	05/29/19	K		

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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)
52.					Buy (add'l)	06/04/19	J		
53. Northern Mid-Cap Index Portfolio	B	Dividend	L	T	Buy	05/29/19	L		
54.					Buy (add'l)	06/04/19	J		
55. Northern Stock Index Fund	B	Dividend	M	T	Buy	05/29/19	M		
56.					Buy (add'l)	06/04/19	K		
57. PIMCO Income Fund Class 1-2	C	Dividend	L	T	Buy	05/29/19	L		
58.					Buy (add'l)	06/04/19	J		
59. Principal Global Real Estate SEC Fund Instl Class	A	Dividend	K	T	Buy	05/29/19	K		
60.					Buy (add'l)	06/04/19	J		
61. PIMCO Short Term Fund Class 1-2	B	Dividend	L	T	Buy	05/29/19	L		
62.					Buy (add'l)	06/04/19	J		
63. Invesco QQQ TR Unit SER 1	A	Dividend	L	T	Buy	05/29/19	L		
64. Invesco Oppenheimer Developing Markets Fund Class Y	A	Dividend	K	T	Buy	05/30/19	J		
65.					Buy (add'l)	06/04/19	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

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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/ 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544