

AO 10*
Rev. 1/2013

FINANCIAL DISCLOSURE REPORT
NOMINATION 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) Peterson, James D.	2. Court or Organization District Court - Western District of Wisconsin	3. Date of Report 11/07/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge Active Status	5a. Report Type (check appropriate type) ☒ Nomination Date 11/7/2013 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2012 to 10/29/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address Godfrey & Kahn, S.C One East Main Street, Suite 500 Madison, Wisconsin 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.	Shareholder	Godfrey & Kahn, S.C
2.	President	Western District Bar Association
3.	President-elect	Western District Bar Association
4.	Treasurer	Western District Bar Association
5.	Co-trustee	Trust No. 1

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

☐ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1. 1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
2. 2009	Promissory Note - Godfrey & Kahn, S.C.; payable from 2019-2023
3.	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting	Date of Report
Peterson, James D.	11/07/2013

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.)

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Godfrey & Kahn, S.C. - salary	\$110,833.00
2. 2012	Godfrey & Kahn, S.C. - salary	\$293,772.00
3. 2011	Godfrey & Kahn, S.C. - salary	\$315,159.00
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.)

DATE	SOURCE AND TYPE
1. 2013	Associated Banc-Corp - salary and bonus
2. 2012	Associated Banc-Corp - salary and bonus
3. 2012	BMO-Harris Bank - salary and bonus
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.)

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

Name of Person Reporting	Date of Report
Peterson, James D.	11/07/2013

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

☐ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1. Exempt		
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.		

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. Ally Bank cash account	B	Interest	M	T	Exempt				
2. Associated Bank cash account	A	Interest	J	T					
3. UW Credit Union cash account	A	Interest	J	T					
4. Promissory Note - Godfrey & Kahn, S.C.	C	Interest	K	T					
5. Associated Banc-Corp Stock	A	Dividend	K	T					
6. BMO Financial Group Stock	A	Dividend	K	T					
7. Fidelity National Information Services Stock	A	Dividend	J	T					
8. American Funds EuroPacific Growth Fund	A	Int./Div.	J	T					
9. BMO Short-Intermediate Bond Fund	C	Int./Div.	M	T					
10. Columbia Acorn Fund	E	Int./Div.	N	T					
11. Columbia Mid Cap Value Fund	A	Int./Div.	K	T					
12. CREF Stock		None	L	T					
13. Dodge & Cox Stock Fund	A	Int./Div.	K	T					
14. Fidelity Government Money Market Fund	A	Int./Div.	L	T					
15. Fidelity Small Cap Value Fund	A	Int./Div.	J	T					
16. Franklin Templeton Moderate Allocation Fund	A	Int./Div.	K	T					
17. Harbor International Institutional Fund	A	Int./Div.	K	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
3. Value Method Codes P3=\$25,000,001 - \$50,000,000 P4=More than \$50,000,000
(See Column C2) Q=Appraisal R=Cost (Real Estate Only) S=Assessment T=Cash Market
U=Book Value V=Other W=Estimated

Name of Person Reporting	Date of Report
Peterson, James D.	11/07/2013

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. Spartan 500 Index Fund	A	Int./Div.	K	T					
19. Spartan Mid Cap Index Fund	A	Int./Div.	J	T					
20. Spartan Small Cap Index Fund	A	Int./Div.	J	T					
21. T. Rowe Price Growth Stock Fund	A	Int./Div.	K	T					
22. Vanguard 500 Index Fund	C	Int./Div.	M	T					
23. Vanguard Balanced Index Fund	D	Int./Div.	N	T					
24. Godfey & Kahn, S.C. Stock		None	J	U					
25. GK Phenomenelle Fund LLC Membership		None	K	U					
26. 2011 Water Street Investors I		None	J	U					
27. 2011 Water Street Investors II		None	J	U					
28. Northwestern Mutual Universal Life	A	Interest	J	T					

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 7 of 7

Name of Person Reporting	Date of Report
Peterson, James D.	11/07/2013

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/ James D. Peterson**

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		168	524	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule	1	268	862	Notes payable to relatives			
Unlisted securities – see schedule		35	419	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others		50	000	Other unpaid income and interest			
Doubtful				Real estate mortgages payable – personal residence		199	499
Real estate owned – personal residence		347	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		82	000				
Cash value-life insurance		4	569				
Other assets itemize:							
Wisconsin Retirement System Pension Plan		5	210				
				Total liabilities		199	499
				Net Worth	1	762	085
Total Assets	1	961	584	Total liabilities and net worth	1	961	584
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor		15	300	Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							