

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) Schreier, Karen E.	2. Court or Organization U.S. District Court, District of South Dakota	3. Date of Report 05/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 United States District Court 400 S. Phillips 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. Member Board of Directors	South Dakota Children's Home Society
2. Member Board of Directors/Secretary	Federal Judges Association
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	Self-employed (attorney)
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. Federal Judges Association	April 15-16, 2019	Dallas, TX	Board of Directors Meeting	Transportation, meals, lodging
2. Washington University	August 18-20, 2019	St. Louis, MO	New Students Convocation Speaker	Transportation, meals, lodging
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. GREAT WESTERN BANK ACCOUNT (cash)	A	Interest	K	T					
2. DISCOVER BANK ACCOUNT (cash)	D	Interest	N	T					
3. NEW YORK LIFE INSURANCE CO. - FIXED ADVANTAGE ANNUITY	B	Interest	K	T					
4. NEW YORK LIFE UNIVERSAL LIFE POLICY	B	Dividend	L	T					
5. LINCOLN FINANCIAL GROUP UNIVERSAL LIFE INS. POLICY	A	Interest	J	T					
6. PROTECTIVE UNIVERSAL LIFE INS POLICY	A	Interest	J	T					
7. BRIGHTHOUSE (formerly METLIFE) INS. CO UNIVERSAL LIFE INS POLICY	A	Interest	K	T					
8. FIRST DAKOTA TITLE INS. LTD. PTR. (1 UNIT)	D	Int./Div.	N	T					
9. KWB HOTEL PARTNERS, LLC		None	K	T					
10. DOUGHERTY & DOUGHERTY LLP	B	Interest	O	U					
11. BROKERAGE ACCOUNT #1 (H)									
12. T. ROWE PRICE EQUITY INCOME FUND (PRFDX)	D	Dividend	L	T					
13. T. ROWE PRICE GROWTH STOCK FUND (PRGFX)	C	Dividend	M	T					
14. T. ROWE PRICE NEW HORIZONS FUND (PRNHX)	E	Dividend	N	T					
15. T. ROWE PRICE SCIENCE AND TECHNOLOGY FUND (PRSCX)	D	Dividend	M	T					
16. T. ROWE PRICE VALUE FUND (TRVLX)	B	Dividend	L	T					
17. IRA #1 (H)									

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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18. RBC BANK DEPOSIT PROGRAM (cash account)	A	Interest	J	T					
19. ISHARES MORNINGSTAR MID CAP GROWTH (JKH)	A	Dividend	L	T					
20. ISHARES S&P SM CAP 600 GROWTH (JIT)	A	Dividend	K	T					
21. VANGUARD ADMIRAL FDS INC S&P 500 VALUE INDEX FD ETF (VOOV)	A	Dividend	K	T	Buy	01/16/19	J		
22. VANGUARD SECTOR INDEX FDS VG ENERGY ETF (VDE)	A	Dividend	K	T					
23. VANGUARD WORLD FUNDS VG HEALTH CARE ETF (VHT)	A	Dividend	K	T					
24. VANGUARD FTSE DEVELOPED MKTS ETF (VEA)	B	Dividend	K	T					
25. NUVEEN NASDAQ 100 DYNAMIC OVERWRITE FUND SOBI (QQQX)	B	Dividend	K	T					
26. BROKERAGE ACCOUNT #2 (H)									
27. RBC BANK DEPOSIT PROGRAM (cash account)	A	Interest	K	T					
28. ALTRIA GROUP INC. COMMON (MO)	B	Dividend	K	T					
29. APPLE INC (AAPL)	A	Dividend	L	T					
30. BERKSHIRE HATHAWAY CL B COMMON (BRKB)		None	M	T					
31. CHEVRON CORP COMMON (CVX)	B	Dividend	K	T					
32. CIGNA CORP (CI)	A	Dividend	J	T					
33. CITIGROUP INC. COMMON (C)	A	Dividend	J	T					
34. COCA-COLA COMPANY COMMON (KO)	A	Dividend	K	T					

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35. COLGATE-PALMOLIVE COMPANY COMMON (CL)	A	Dividend	K	T					
36. CONAGRA COMMON (CAG)	A	Dividend	J	T					
37. DEERE & CO.-COMMON (DE)	A	Dividend	K	T					
38. EXXON MOBIL CORP COMMON (XOM)	B	Dividend	K	T					
39. GENERAL ELECTRIC COMPANY COMMON (GE)	A	Dividend	J	T					
40. HOME DEPOT INC. COMMON (HD)	B	Dividend	L	T					
41. INTEL CORPORATION COMMON (INTC)	A	Dividend	K	T					
42. INTERNATIONAL BUSINESS MACHINES (IBM)	A	Dividend	J	T					
43. INVESCO ETF S&P 500 EQ WT TECH (RYT)	A	Dividend	K	T					
44. ISHARES NASDAQ BIOTECHNOLOGY INDEX FD (IBB)	A	Dividend	K	T					
45. ISHARES RUSSELL MID CAP ETF (IWR)	A	Dividend	K	T					
46. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	K	T					
47. ISHARES US PHARMACEUTICALS ETF (IHE)	A	Dividend	K	T					
48. KRAFT HEINZ COMPANY COMMON (KHC)	A	Dividend	J	T					
49. LAMB WESTON HOLDINGS INC COMMON STOCK (LW)	A	Dividend	J	T					
50. MERCK & CO. INC. COMMON (MRK)	A	Dividend	K	T					
51. MICROSOFT CORP COMMON (MSFT)	B	Dividend	L	T					

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52. MONDELEZ INT. INC - COMMON (MDLZ)	A	Dividend	K	T					
53. PEPSICO INCORPORATED COMMON (PEP)	A	Dividend	K	T					
54. PFIZER INC. COMMON (PFE)	A	Dividend	K	T					
55. PHILIP MORRIS INTL INC. COMMON (PM)	C	Dividend	L	T					
56. PROCTOR & GAMBLE CO. COMMON (PG)	A	Dividend	K	T					
57. TARGET CORP COMMON (TGT)	A	Dividend	J	T					
58. US BANCORP DEL- COMMON (USB)	A	Dividend	K	T					
59. VANGUARD ADMIRAL FDS INC S&P 500 GROWTH INDEX FD ETF (VOOG)	A	Dividend	K	T					
60. VANGUARD SECTOR INDEX FDS VANGUARD INFORMATION TECHNOLOGY ETF (VGT)	A	Dividend	K	T					
61. VANGUARD WORLD FUND (VHT)	A	Dividend	K	T					
62. WALGREENS BOOT ALLIANCE INC (WBA)	A	Dividend	J	T					
63. 3M COMPANY COMMON (MMM)	B	Dividend	L	T					
64. BP PLC SPONS ADR COMMON (BP)	B	Dividend	K	T					
65. AMERICAN FUNDS EURO PACIFIC GROWTH FD CL A (AEPGX)	B	Dividend	L	T	Buy (add'l)	12/20/19	J		
66. MEDTRONIC PLC COMMON (MDT)	A	Dividend	K	T					
67. INVESCO OPPENHEIMER DEVELOPING MKTS FUND-CL C (ODVCX)	A	Dividend	K	T					

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68. ROYAL DUTCH SHELL PLC SPON ADR REPSTG B SHS (RDSB)	A	Dividend	K	T					
69. PIMCO FOREIGN BOND FUND (PFOCX)	A	Dividend	K	T	Buy (add'l)	12/23/19	J		
70. PUTNAM ULTRA SHORT DURATION INCOME FUND CL A (PSDTX)	A	Dividend	K	T	Buy	07/08/19	K		
71. MORGAN STANLEY PVT BK C/D 08/31/20 [REDACTED]	D	Interest	M	T					
72. EATON VANCE NAT. MUN. OPPORTUNITIES TR (EOT)	A	Dividend			Sold	07/08/19	J	A	
73. NUVEEN FLAGSHIP ALL-AMERICAN MUNICIPAL BOND FUND CL A (FLAAX)	A	Dividend	K	T					
74. DESCHUTES & JEFFERSON CNTYS OR SD #02J [REDACTED]		None	K	T					
75. UNIVERSITY NC CHAPEL HILL REV STUDENT FEE & UTILITIES [REDACTED]		None	K	T					
76. YUBA CITY CAL. UNI. SCHOOL DIST. BOND [REDACTED]		None	K	T					
77. CHELAN CNTY WA PUD #1 COLUMBIA ELEC. & PUB POWER BOND [REDACTED]		None	K	T					
78. FRANKLIN-MCKINLEY CAL. SCHOOL BOND [REDACTED]		None	K	T					
79. FORT BEND CNTY TEX MUN UNTIL DI ULTLD TAX BDS [REDACTED]	A	Interest	K	T					
80. ALLEN TX INDPT. SCHOOL DIST. BOND [REDACTED]		None	K	T					
81. PENN. ST. TPK COMMON TPK TOLL ROADS BOND (4)	B	Int./Div.	K	T					
82. METROPOLITAN WASH. DC ARPT. DULLES TOLL ROAD BOND [REDACTED]	B	Interest	K	T					
83. LINCOLN NATL LIFE AMER. ANNUITY (H)									

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84. LVIP AMERICAN GROWTH FUND		None	K	T					
85. LVIP AMERICAN GROWTH-INCOME FUND		None	K	T					
86. IRA ACCOUNT #2 (H)									
87. RBC BANK DEPOSIT PROGRAM (cash account)	A	Interest	L	T					
88. ISHARES TR RUSSELL MID CAP ETF (IWR)	A	Dividend	K	T	Sold (part)	03/04/19	J	A	
89. VANGUARD ADMIRAL FUNDS INC. S&P 500 GROWTH INDEX FUND (VOOG)	A	Dividend	K	T					
90. VANGUARD ADMIRAL FDS. INC.S&P 500 VALUE INDEX (VOOV)	B	Dividend	L	T					
91. VANGUARD INDEX FUNDS SMALL CAP VALUE ETF (VBR)	A	Dividend	K	T	Sold (part)	03/04/19	J	A	
92. VANGUARD FTSE DEVELOPED MARKETS ETF (VEA)	A	Dividend	K	T					
93. PUTNAM ULTRA SHORT DURATION INCOME FUND CL Y (PSDYX)		None	L	T	Buy	12/31/19	L		
94. VANGUARD FTSE EMERGING MARKETS ETF FTSE EMERGING INDEX (VWO)	A	Dividend			Sold	12/03/19	J	A	
95. EATON VANCE INCOME FUND BOSTON INC INST CL (EIBIX)	A	Dividend			Sold	03/04/19	J		
96. TEMPLETON GLOBAL BOND ADVISOR CL (TGBAX)	A	Dividend			Sold	12/03/19	J		
97. COLUMBIA FDS SER TR II MASS FLEX CAP INC FD I (CFIZX)	A	Dividend	J	T					
98. HARTFORD MUT FDS INC BAL INC FD CL I (HBLIX)	A	Dividend	K	T					
99. JPMORGAN TR I INC BLDR FD CL I (JNBSX)	A	Dividend	K	T					

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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), and sub-columns for each. Rows 100-116 list various investments like THORNBURG INVT TR, PIMCO FDS REAL ESTATE, etc.

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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)
117. T. ROWE PRICE GLOBAL TECHNOLOGY FD INC (PRGTX)	A	Dividend	K	T					
118. VANGUARD DEVELOPED MARKETS INDEX FUND ADMIRAL (VTMGX)	A	Dividend	J	T					
119. VANGUARD FTSE DEVELOPED MARKETS ETF (VEA)	A	Dividend	K	T					
120. VANGUARD FTSE EMERGING MARKETS ETF FTSE EMERGING INDEX (VWO)	A	Dividend	K	T					
121. VANGUARD INTERMEDIATE TERM BOND ETF (BIV)	A	Dividend	K	T					
122. PUTNAM ULTRA SHORT DURATION INCOME FD CL Y (PSDYX)		None	L	T	Buy	12/31/19	L		
123. SPDR BARCLAYS INTERNATIONAL TREASURY BOND ETF (BWV)	A	Dividend			Sold	03/04/19	J		
124. EATON VANCE INCOME FD BOSTON INC INSTL CL (EIBIX)	A	Dividend			Sold	12/03/19	J		
125. ISHARES IBOXX \$ HIGH YIELD CORPORATE BOND ETF (HYG)	A	Dividend			Sold	03/04/19	J		
126. INVESCO EMERG MKTS SOV DEBT ETF (PCY)	A	Dividend			Sold	03/04/19	J	A	
127. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T					
128. VANGUARD INFLATION PROTECTED SECURITIES FUND SDIRAL CL (VAIPX)	A	Dividend	J	T					
129. SPDR SERIES TRUST SPDR DB INTL GOVT INFLATION PROTECTED BOND ETF (WIP)	A	Dividend			Sold	03/04/19	J		
130. COLUMBIA FDS SER TR II MASS FLEX CAP INC (CFIZX)	B	Dividend	K	T					
131. JPMORGAN TR I INC BLDR FD CL I (JNBSX)	A	Dividend	J	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	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3 Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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Name of Person Reporting

Schreier, Karen E.

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Name change: INVESCO OPPENHEIMER DEVELOPING MKTS FUND-CL C was OPPENHEIMER DEVELOPING MKTS FUND-CL C.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Schreier, Karen E.

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/ **Karen E. Schreier**

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
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