

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) Peterson, James D.	2. Court or Organization District Court - Western Wisconsin	3. Date of Report 8/12/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - active status	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 120 North Henry Street, Suite 560 Madison, WI 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Co-Trustee	Trust No. 1
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. 1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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	Associated Bank-Corp - salary
2. 2019	University of Wisconsin Law School - stipend for teaching
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	Washington, D.C.	Board of Directors Meeting	Travel, lodging, meals
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Peterson, James D.	8/12/2020

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

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) 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. Ally Bank cash account	A	Interest	K	T					
2. Associated Bank cash account	A	Interest			Closed	04/11/19	J		
3. UW Credit Union cash account	A	Interest	J	T					
4. Associated Banc-Corp Stock	D	Dividend	M	T	Buy (add'l)	09/17/19	K		
5.					Buy (add'l)	12/18/19	K		
6.					Sold (part)	12/19/19	K	D	
7. CREF Stock		None	L	T					
8. Fidelity Government Money Market Fund	A	Int./Div.	K	T					
9. GK Phenomenelle Fund LLC Membership		None	K	U					
10. Fidelity Core Cash Account (Fidelity Gov Cash Reserves)	A	Interest	J	T					
11. Fidelity Individual Cash Account					Merged (with line 8)				
12. Fidelity Int'l Enhanced Index Fund	A	Dividend	K	T	Sold (part)	06/27/19	J	A	
13. Fidelity SAI US Value Index Fund	A	Dividend			Buy (add'l)	06/27/19	J		
14.					Buy (add'l)	08/15/19	J		
15.					Sold (part)	01/29/19	J	A	
16.					Sold	09/20/19	K	A	
17. Fidelity SAI U.S. Momentum Index Fund	A	Dividend			Buy (add'l)	01/29/19	J		

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.					Sold (part)	03/07/19	J	A	
19.					Sold (part)	06/27/19	J	A	
20.					Sold (part)	09/19/19	J	A	
21.					Sold	09/20/19	K	A	
22. Fidelity SAI U.S. Large Cap Index	C	Dividend			Buy (add'l)	08/05/19	J		
23.					Sold (part)	01/29/19	J	A	
24.					Sold (part)	03/07/19	J	A	
25.					Sold (part)	06/27/19	J	A	
26.					Sold	09/20/19	N	D	
27. Fidelity SAI International Index		None			Buy (add'l)	08/15/19	J		
28.					Sold (part)	01/29/19	J	A	
29.					Sold (part)	03/07/19	J	A	
30.					Sold (part)	06/27/19	J	A	
31.					Sold (part)	09/19/19	J	A	
32.					Sold	09/20/19	M	A	
33. Fidelity SAI Emerg Markets Index		None			Buy (add'l)	03/07/19	J		
34.					Buy (add'l)	06/27/19	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

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Peterson, James D.

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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.)

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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)	(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)
35.					Sold (part)	01/29/19	J	A	
36.					Sold	09/20/19	K	A	
37. Fidelity SAI U.S. Quality Index Fund	A	Int./Div.			Buy (add'l)	06/27/19	J		
38.					Buy (add'l)	08/15/19	J		
39.					Sold (part)	01/29/19	J	A	
40.					Sold (part)	03/07/19	J	A	
41.					Sold	09/20/19	K	A	
42. FID SAI Small Mid Cap 500 Index Fund	A	Dividend			Sold (part)	01/29/19	J	A	
43.					Sold (part)	03/07/19	J	A	
44.					Sold (part)	06/27/19	J	A	
45.					Sold (part)	08/15/19	J	A	
46.					Sold	09/20/19	K	A	
47. Fidelity Strategic Income Fund	A	Dividend			Sold	06/27/19	J	A	
48. Fidelity US Bond Index Fund	C	Dividend	M	T	Buy	06/27/19	J		
49.					Sold (part)	08/15/19	J	A	
50. Fidelity Conservative Income Bond Fd	A	Dividend	K	T	Sold (part)	03/07/19	J	A	
51.					Sold (part)	08/15/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 7 of 17

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52. Strategic Advisers Income Opportunities	A	Int./Div.			Buy (add'l)	03/07/19	J		
53.					Sold	09/20/19	K	A	
54. Fidelity Inflat-Prot Bd Index Fund	A	Dividend	J	T					
55. Fidelity Government Cash Reserves	A	Interest	J	T					
56. Fidelity SAI Inflation Focused FD	A	Dividend			Buy	01/29/19	J		
57.					Buy (add'l)	06/27/19	J		
58.					Sold (part)	08/15/19	J	A	
59.					Sold	09/20/19	J	A	
60. Fidelity Flex Interantional Index	C	Dividend	M	T	Buy	09/26/19	J		
61.					Buy (add'l)	09/27/19	M		
62.					Buy (add'l)	10/04/19	J		
63.					Sold (part)	11/06/19	J	A	
64.					Sold (part)	11/07/19	J	A	
65. Fidelity Flex 500 Index Fund	B	Dividend	N	T	Buy	09/26/19	J		
66.					Buy (add'l)	09/27/19	N		
67.					Buy (add'l)	10/04/19	J		
68.					Sold (part)	11/06/19	J	A	

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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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FINANCIAL DISCLOSURE REPORT

Page 8 of 17

Name of Person Reporting

Peterson, James D.

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69.					Sold (part)	11/07/19	J	A	
70. Fidelity Flex Small Cap Index Fund	A	Int./Div.	K	T	Buy	09/27/19	K		
71. Fidelity Flex Mid Cap Index Fund	A	Int./Div.	K	T	Buy	09/27/19	K		
72.					Buy (add'l)	11/07/19	J		
73. Fidelity Flex Cons Income Bond Fund	A	Dividend	K	T	Buy	09/27/19	K		
74.					Buy (add'l)	11/07/19	J		
75. Fidelity Flex U.S. Bond Index Fund	B	Int./Div.	M	T	Buy	09/27/19	M		
76.					Buy (add'l)	11/07/19	J		
77. Fidelity Flex Government Money Mkt	A	Dividend	J	T					
78. Fidelity Deposit at BNY Mellon		None	J	T					
79. IShares Core S&P Small Cap	A	Dividend	K	T	Sold (part)	01/29/19	J	A	
80.					Sold (part)	06/27/19	J	A	
81.					Sold (part)	08/15/19	J	A	
82.					Sold (part)	09/19/19	J	A	
83. IShares TR EAFE Sml Cp	A	Int./Div.	J	T	Sold (part)	03/07/19	J	A	
84.					Sold (part)	09/19/19	J	A	
85. IShares TR EAFE Grwth ETF	A	Dividend	J	T	Sold (part)	01/29/19	J	A	

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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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FINANCIAL DISCLOSURE REPORT

Page 9 of 17

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86. IShares Inc Core MSCI Emerging Mkts	A	Dividend	K	T	Buy	03/07/19	J		
87.					Buy (add'l)	06/27/19	J		
88.					Sold (part)	09/19/19	J	A	
89. Select Sector Spdr Tr Energy		None			Sold	01/29/19	K	A	
90. Select Sector Spdr Tr Energy (W)	A	Dividend			Buy	01/02/19	J		
91.					Sold	01/31/19	J	A	
92. Ishares TR EAFE SML CP ETF (W)	A	Dividend			Buy	07/01/19	J		
93.					Sold (part)	01/31/19	J	A	
94.					Sold (part)	09/23/19	J	A	
95.					Sold	09/27/19	J	A	
96. Ishares Core S&P Small Cap E (W)	A	Dividend			Buy	01/02/19	J		
97.					Sold (part)	01/31/19	J	A	
98.					Sold (part)	07/01/19	J	A	
99.					Sold (part)	08/19/19	J	A	
100.					Sold (part)	09/23/19	J	A	
101.					Sold	09/27/19	J	A	
102. Ishares Inc Core MSCJ Emerging Mkts ETF (W)	A	Dividend	J	T	Buy	03/11/19	J		

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	(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)
103.					Buy (add'l)	07/01/19	J		
104.					Buy (add'l)	08/19/19	J		
105.					Sold (part)	01/02/19	J	A	
106.					Sold (part)	09/27/19	J	A	
107. Fidelity SAI Small Mid Cap 500 Index Fund (W)	A	Dividend			Sold (part)	01/30/19	J	A	
108.					Sold (part)	03/08/19	J	A	
109.					Sold (part)	06/28/19	J	A	
110.					Sold	08/16/19	J	A	
111. Fidelity U.S. Bond Index Fund (W)	A	Dividend			Buy	01/30/19	J		
112.					Buy	03/08/19	J		
113.					Buy (add'l)	06/28/19	J		
114.					Sold (part)	08/16/19	J	A	
115.					Sold	09/26/19	L	A	
116. Fidelity SAI U.S. Quality Index Fund (W)	A	Dividend			Buy	06/28/19	J		
117.					Buy (add'l)	08/16/19	J		
118.					Sold (part)	01/30/19	J	A	
119.					Sold (part)	03/08/19	J	A	

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 11 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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)
120.					Sold	09/23/19	J	A	
121. Fidelity SAI U.S. Momentum Index Fund (W)	A	Dividend			Buy	01/30/19	J		
122.					Sold (part)	03/08/19	J	A	
123.					Sold (part)	06/28/19	J	A	
124.					Sold (part)	09/20/19	J	A	
125.					Sold	09/23/19	J	A	
126. Fidelity SAI U.S. Value Index Fund (W)	A	Dividend			Buy	06/28/19	J		
127.					Buy (add'l)	08/16/19	J		
128.					Sold (part)	01/30/19	J	A	
129.					Sold	09/23/19	J	A	
130. Strategic Advisors Income Opportunities (W)	A	Dividend			Buy	03/08/19	J		
131.					Sold	09/23/19	J	A	
132. Fidelity SAI U.S. Large Cap Index (W)	C	Dividend			Buy (add'l)	08/16/19	J		
133.					Sold (part)	01/30/19	J	A	
134.					Sold (part)	03/08/19	J	A	
135.					Sold (part)	06/28/19	J	A	
136.					Sold	09/23/19	L	C	

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 12 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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)
137. Fidelity SAI International Index (W)	A	Dividend			Buy (add'l)	08/16/19	J		
138.					Sold (part)	01/30/19	J	A	
139.					Sold (part)	03/08/19	J	A	
140.					Sold (part)	06/28/19	J	A	
141.					Sold (part)	09/20/19	J	A	
142.					Sold	09/23/19	K	A	
143. Fidelity SAI Inflation Focused Fund (W)	A	Dividend			Buy	01/30/19	J		
144.					Buy (add'l)	06/28/19	J		
145.					Sold (part)	08/16/19	J	A	
146.					Sold	09/23/19	J	A	
147. Fidelity Int'l Enhanced Index Fund (W)	A	Dividend			Buy	08/16/19	J		
148.					Sold (part)	06/28/19	J	A	
149.					Sold	09/26/19	J	A	
150. Fidelity SAI Emerging Markets Index (W)	A	Dividend			Buy	03/08/19	J		
151.					Buy (add'l)	06/28/19	J		
152.					Sold	09/23/19	J	A	
153. Fidelity Conservative Income Bnd Inst Cl (W)	A	Dividend			Buy	01/30/19	J		

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 13 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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)
154.					Buy (add'l)	06/28/19	J		
155.					Sold (part)	03/08/19	J	A	
156.					Sold (part)	08/16/19	J	A	
157.					Sold	09/26/19	J	A	
158. Fidelity Strategic Income Fund (W)	A	Dividend			Buy	01/30/19	J		
159.					Buy (add'l)	03/08/19	J		
160.					Sold (part)	06/28/19	J	A	
161.					Sold	09/26/19	J	B	
162. Ishares TR EAFE Growth ETF (W)	A	Dividend			Sold	09/27/19	J	A	
163. Fidelity Inflat-Prot Bd Index Fund (W)	A	Dividend			Buy	01/30/19	J		
164.					Sold	09/26/19	J	A	
165. Fidelity Flex 500 Index Fund (W)	B	Dividend	M	T	Buy	09/30/19	M		
166.					Buy (add'l)	10/01/19	J		
167.					Sold (part)	12/30/19	J	A	
168. Fidelity Flex Cons Income Bond Fund (W)	A	Dividend	J	T	Buy	09/30/19	J		
169.					Buy (add'l)	10/01/19	J		
170.					Buy (add'l)	11/12/19	J		

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 14 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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)
171.					Buy (add'l)	12/30/19	J		
172. Fidelity Flex International Index (W)	B	Dividend	L	T	Buy	09/30/19	L		
173.					Buy (add'l)	10/01/19	J		
174.					Sold (part)	11/12/19	J	A	
175. Fidelity Flex Small Cap Index Fund (W)	A	Dividend	K	T	Buy	09/30/19	J		
176.					Buy (add'l)	10/01/19	J		
177.					Sold (part)	11/12/19	J	A	
178. Fidelity Flex U.S. Bond Index Fund (W)	A	Dividend	M	T	Buy	09/30/19	J		
179.					Buy (add'l)	10/01/19	J		
180. Fidelity Flex U.S. Bond Index Fund (W)	A	Dividend	L	T	Sold	09/26/19	L	C	
181.					Buy	09/30/19	L		
182.					Buy (add'l)	10/01/19	L		
183.					Buy (add'l)	11/12/19	J		
184.					Buy (add'l)	12/30/19	J		
185. Vanguard Institutional Index (W)	C	Dividend	M	T	Buy (add'l)	01/03/19	J		
186.					Sold (part)	07/01/19	K	A	
187. Vanguard Total Bond MKT ADM (W)	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	
	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		

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)
188. Vanguard Target Retirement 2020 (W)	G	Dividend	O	T	Buy (add'l)	03/04/19	J		
189.					Sold (part)	07/01/19	J	A	

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 16 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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

Investments designated (W) are held in the accounts of the judge [REDACTED] In previous reports, these investments were reported in combination with the judge's investments.

The 2018 report erroneously listed three investments as "sold" instead of "sold (part)." They are reported at lines 42, 85, and 86 in this report.

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Peterson, James D.

Date of Report

8/12/2020

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/ **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