

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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 8/10/2021
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2020 to 12/31/2020
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 12

Name of Person Reporting

Peterson, James D.

Date of Report

8/10/2021

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. 2020	SSA Retirement
2. 2020	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.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2021

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 12

Name of Person Reporting

Peterson, James D.

Date of Report

8/10/2021

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	A	Interest	K	T					
2. UW Credit Union cash account	A	Interest	K	T					
3. Associated Banc-Corp Stock	D	Dividend	M	T					
4. CREF Stock		None	M	T					
5. Fidelity Government Money Market Fund	A	Int./Div.	J	T					
6. GK Phenomenelle Fund LLC Membership		None	J	U					
7. Fidelity Core Cash Account (Fidelity Gov Cash Reserves)	A	Interest			Closed	01/01/20	J	A	
8. Fidelity Int'l Enhanced Index Fund	A	Dividend	K	T					
9. Fidelity US Bond Index Fund	D	Int./Div.	M	T					
10. Fidelity Conservative Income Bond Fd	A	Int./Div.	K	T					
11. Fidelity Inflat-Prot Bd Index Fund	B	Dividend	J	T					
12. Fidelity Government Cash Reserves	A	Interest			Closed	01/01/20	J	A	
13. Fidelity Flex 500 Index Fund	D	Dividend	N	T	Sold (part)	01/13/20	J	A	
14.					Buy (add'l)	03/12/20	J		
15.					Buy (add'l)	03/27/20	J		
16.					Sold (part)	04/17/20	J	A	
17.					Buy (add'l)	05/26/20	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 5 of 12

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.)

☐ 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)	06/10/20	J	A	
19.					Sold (part)	09/09/20	J	A	
20.					Sold (part)	12/08/20	J	A	
21. Fidelity Flex International Index Fund	C	Dividend	M	T	Buy (add'l)	02/27/20	J		
22.					Buy (add'l)	03/12/20	J		
23.					Buy (add'l)	03/27/20	J		
24.					Buy (add'l)	04/17/20	J		
25.					Sold (part)	05/26/20	J	A	
26.					Sold (part)	06/10/20	J	A	
27.					Sold (part)	09/09/20	J	A	
28.					Sold (part)	12/08/20	J	A	
29. Fidelity Flex Small Cap Index Fund	A	Int./Div.	K	T	Buy (add'l)	02/27/20	J		
30.					Buy (add'l)	03/12/20	J		
31.					Buy (add'l)	03/27/20	J		
32.					Sold (part)	05/28/20	J	A	
33.					Sold (part)	06/10/20	J	A	
34.					Buy (add'l)	09/09/20	J		

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	

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)	12/08/20	J	A	
36. Fidelity Flex Mid Cap Index Fund	A	Int./Div.	K	T	Buy (add'l)	03/12/20	J		
37.					Buy (add'l)	03/27/20	J		
38.					Sold (part)	04/17/20	J	A	
39.					Sold (part)	05/26/20	J	A	
40.					Sold (part)	06/10/20	J	A	
41.					Buy (add'l)	09/09/20	J		
42.					Sold (part)	12/08/20	J	A	
43. Fidelity Flex Cons Income Bond Fund	A	Dividend	K	T	Buy (add'l)	01/13/20	J		
44.					Sold (part)	02/27/20	J	A	
45.					Sold (part)	03/12/20	J	A	
46.					Sold (part)	03/27/20	J	A	
47.					Buy (add'l)	04/17/20	J		
48.					Buy (add'l)	05/26/20	J		
49.					Buy (add'l)	06/10/20	J		
50.					Buy (add'l)	09/09/20	J		
51.					Buy (add'l)	12/08/20	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 7 of 12

Name of Person Reporting

Peterson, James D.

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8/10/2021

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. Fidelity Flex U.S. Bond Index Fund	D	Int./Div.	M	T	Buy (add'l)	01/13/20	J		
53.					Sold (part)	02/27/20	J	A	
54.					Sold (part)	03/12/20	K	A	
55.					Sold (part)	03/27/20	K	A	
56.					Buy (add'l)	04/17/20	J		
57.					Buy (add'l)	05/26/20	J		
58.					Buy (add'l)	06/10/20	J		
59.					Buy (add'l)	09/09/20	J		
60.					Buy (add'l)	12/08/20	K		
61. Fidelity Flex Government Money Mkt	A	Dividend	J	T					
62. Fidelity Deposit at BNY Mellon	A	Interest	J	T					
63. Fidelity Deposit Peoples Bank	A	Interest	J	T	Open	01/01/20	J		
64. IShares Core S&P Small Cap	A	Dividend	K	T					
65. IShares TR EAFE Sml Cp	A	Int./Div.	J	T					
66. IShares TR EAFE Grwth ETF	A	Dividend	J	T					
67. IShares Inc Core MSCI Emerging Mkts	A	Dividend	K	T					
68. Ishares Inc Core MSCJ Emerging Mkts ETF (W)	A	Dividend	J	T					

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)					

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)
69. Fidelity Flex 500 Index Fund (W)	B	Dividend	M	T	Buy (add'l)	03/12/20	J		
70.					Buy (add'l)	03/27/20	J		
71.					Sold (part)	04/17/20	J	A	
72.					Buy (add'l)	05/26/20	J		
73.					Sold (part)	06/10/20	J	A	
74.					Sold (part)	09/09/20	J	A	
75.					Sold (part)	12/08/20	J	A	
76. Fidelity Flex Cons Income Bond Fund (W)	A	Dividend	K	T	Sold (part)	03/12/20	J	A	
77.					Sold (part)	03/27/20	J	A	
78.					Buy (add'l)	04/17/20	J		
79.					Buy (add'l)	05/26/20	J		
80.					Buy (add'l)	06/10/20	J		
81.					Buy (add'l)	09/09/20	J		
82.					Buy (add'l)	12/08/20	J		
83. Fidelity Flex International Index (W)	B	Dividend	L	T	Buy (add'l)	02/26/20	J		
84.					Buy (add'l)	03/12/20	J		
85.					Buy (add'l)	03/27/20	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 9 of 12

Name of Person Reporting

Peterson, James D.

Date of Report

8/10/2021

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)
86.					Buy (add'l)	04/17/20	J		
87.					Sold (part)	05/26/20	J	A	
88.					Sold (part)	06/10/20	J	A	
89.					Sold (part)	09/09/20	J	A	
90.					Sold (part)	12/08/20	J	A	
91. Fidelity Flex Small Cap Index Fund (W)	A	Dividend	J	T	Buy (add'l)	02/26/20	J		
92.					Buy (add'l)	03/12/20	J		
93.					Buy (add'l)	03/27/20	J		
94.					Sold (part)	05/26/20	J	A	
95.					Sold (part)	06/10/20	J	A	
96.					Buy (add'l)	09/09/20	J		
97.					Sold (part)	12/08/20	J	A	
98. Fidelity Flex U.S. Mid Cap Index Fund (W)	A	Dividend	L	T	Buy (add'l)	03/12/20	J		
99.					Buy (add'l)	03/27/20	J		
100.					Sold (part)	04/17/20	J	A	
101.					Sold (part)	05/26/20	J	A	
102.					Sold (part)	06/10/20	J	A	

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.)

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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)	09/09/20	J		
104.					Sold (part)	12/08/20	J	A	
105. Fidelity Flex U.S. Bond Index Fund (W)	A	Dividend	J	T	Sold (part)	02/26/20	J	A	
106.					Sold (part)	03/12/20	J	A	
107.					Sold (part)	03/27/20	J	A	
108.					Buy (add'l)	04/17/20	J		
109.					Buy (add'l)	05/26/20	J		
110.					Buy (add'l)	06/10/20	J		
111.					Buy (add'l)	09/09/20	J		
112.					Buy (add'l)	12/08/20	J		
113. Vanguard Institutional Index (W)	C	Dividend	M	T	Sold (part)	07/01/20	K	A	
114. Vanguard Total Bond MKT ADM (W)	A	Int./Div.	K	T	Sold (part)	07/01/20	J	A	
115. Vanguard Target Retirement 2020 (W)	F	Dividend	O	T	Sold (part)	07/01/20	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 12

Name of Person Reporting

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8/10/2021

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

Investments designated at line 99 as Fidelity Flex Mid Cap Fund (W) was incorrectly labeled as Fidelity Flex U.S. Bond Index Fund (W) at line 178 on previous report.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

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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/ **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
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