

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) Goodstein, Aaron E.	2. Court or Organization District Court -E.D. Wisconsin	3. Date of Report 05/05/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Full-Time (Recall)	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 714 United States Courthouse 517 E. Wisconsin Avenue 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
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.)

DATE

SOURCE AND TYPE

INCOME

(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.)

DATE

SOURCE AND TYPE

1.

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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

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) 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. 1. U.S. Bank Savings Accounts	B	Interest	M	T					
2. 2. IRA #1:									
3. a) Cohen & Steers PFD Secs	A	Dividend			Sold	03/10/20	J	A	
4. b) DoubleLine FDS TR	A	Dividend			Sold	03/19/20	J	A	
5. c) Eaton Vance Atlantic Cap	A	Dividend	J	T					
6. d) Pimco Income FD	A	Dividend	J	T					
7. e) Advisors SER TR	A	Dividend			Sold	04/02/20	J	A	
8. f)Polen Growth Fd		None	J	T			J		
9. g) WCM Focused Int'l Growth	A	Dividend	J	T					
10. h) T. Rowe Price	A	Dividend	J	T	Buy	02/14/20	J		
11. i) IShares TR 1-3 yr Treas Bd	A	Dividend	J	T	Buy	04/02/20	J		
12. o) Ishares Gold Trust		None			Sold	12/30/20	J	A	
13. Brokerage Account #1:									
14. a) Berkshire Hathaway		None	K	T					
15. b) JP Morgan TR 1 n/k/a Eagle Sweep Tier 15	A	Interest	J	T					
16. c) Chevron Corp.	A	Dividend	J	T					
17. d) Eaton Vance Atlanta Cap	A	Dividend	K	T					

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 =\$250,000,001 - \$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

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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. e) Cohen & Steers PFD SECS	A	Dividend			Sold	03/10/20	J	A	
19. f) Doubleline FDS TR	A	Dividend			Sold	03/19/20	K	A	
20. g)) Pimco Income FD	A	Dividend	K	T					
21. h) Advisors SER TR	A	Dividend			Sold	04/02/20	K	A	
22. i) Polen Growth Fd		None	K	T					
23. j)WCM Focused Int'l Growth	A	Dividend	K	T					
24. k) IShares Gold Trust		None			Sold	12/30/20	K	A	
25. l) T. Rowe Price	A	Dividend	J	T	Buy	02/14/20	J		
26. m) FRC Founders Index Fund	A	Dividend	J	T	Buy	07/28/20	J		
27. IShares TR 1-3 Yr TREAS Bd	A	Dividend	K	T	Buy	04/02/20	K		
28. Brokerage Account #2									
29. a) Exxon Mobile Corp	A	Dividend			Sold	05/12/20	K	A	
30. b) Johnson & Johnson	A	Dividend	K	T					
31. c) Simon Property Group Inc, New	B	Dividend			Sold	05/19/20	K	A	
32. d) U.S. Bancorp DE New	A	Dividend			Sold	05/19/20	K	A	
33. e) Universal Health Realty Income Trust Shares Beneficial In	A	Dividend	K	T					
34. f) Verizon Communications, Inc	A	Dividend	J	T					

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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☐ 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)
35. g) Washington Mutual Company	A	Dividend	J	T					
36. h Fidelity National Information Services	A	Dividend	K	T					
37. i) Walgreen Boots Alliance Inc	A	Dividend			Sold	03/10/20	J	A	
38. j) Washington Prime Group Inc	A	Dividend			Sold	05/19/20	J	A	
39. k) WMI Holdings	A	Dividend			Sold	03/10/20	J	A	
40. l) Select Sector SPDR Trust	A	Dividend			Sold	05/12/20	J	A	
41. m) Cohen & Steers PFD SECS	A	Dividend			Sold	03/10/20	J	A	
42. n) Doubleline FDS TR	A	Dividend			Sold	03/19/20	K	A	
43. o)) Eaton Vance Atlanta Cap	A	Dividend	J	T					
44. p) Pimco Income FD	B	Dividend	K	T					
45. q) Advisors SER TR	A	Dividend			Sold	04/02/20	J	A	
46. r) WCM Focused Int'l Growth	A	Dividend	K	T					
47. s) T. Rowe Price	A	Dividend	K	T	Buy	04/02/20	K		
48. t)FRC Founders Index Fund	A	Dividend	J	T	Buy	07/28/20	J		
49. u) IShares TR 1-3 yr TREAS Bd	A	Dividend	K	T	Buy	04/02/20	K		
50. v)) IShares Gold Trust		None			Sold	12/30/20	J	A	
51. IRA #2									

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)
52. a) JP Morgan CC n/k/a Eagle Sweep Tier 15	A	Interest	J	T					
53. b) Vanguard Mega Cap Growth	A	Dividend	J	T					
54. c) SPDR SER TR	A	Dividend	J	T					
55. d) Cohen& Steers PFD SECS	A	Dividend			Sold	03/10/20	J	A	
56. e) Doubleline FDS TR	A	Dividend			Sold	03/19/20	J	A	
57. f)Eaton Vance Atlanta Cap	C	Dividend	K	T					
58. g) Pimco Income FD	A	Dividend	K	T					
59. h) Polen Growth Fd		None	J	T					
60. i) WCM Focused Int'l Growth	A	Dividend	J	T					
61. j) T. Rowe Price	A	Dividend	J	T	Buy	02/14/20	J		
62. IShares TR 1-3 yr TREAS Bd	A	Dividend	K	T	Buy	04/02/20	K		
63.									

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/ Aaron E. Goodstein**

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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Washington, D.C. 20544