

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) Duffin, William E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 05/07/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full-time Magistrate Judge	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 U.S. Courthouse 517 E. Wisconsin Ave. Room 250 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	Seventh Circuit Bar Association Foundation
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.	
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. 2020	Darrell A. Francis, SC--wages
2. 2020	Dr. Andrew Patterson, DDS--wages
3. 2020	Shorewest Realtors--commission
4. 2020	Potawatomi Bingo and Casino--gambling winnings

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.				

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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. Capital One Master Card	Credit Card	K
2. Target Master Card	Credit Card	J
3.		
4.		
5.		

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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. BMO Harris Bank accounts	A	Int./Div.	J	T					
2. Edvest 529 plan									
3. --Age-Based Option 18 & Over	C	Int./Div.	J	T					
4. Northwestern Mutual Adjustable Comp Life	C	Dividend	L	T					
5.									
6. IRA #1									
7. American Funds									
8. --AMCAP Fund-A	A	Int./Div.	J	T					
9. --The Income Fund of America-A	A	Int./Div.	J	T					
10. --The Bond Fund of America-A	A	Int./Div.	J	T					
11. --Fundamental Investors-A	A	Int./Div.	J	T					
12. --American Balanced Fund-A (X)	A	Int./Div.	J	T					
13. IRA #2									
14. IShares TR Core US Aggregate BD ETF	B	Dividend	L	T	Buy (add'l)	04/13/20	J		
15. Artisan High Income Fund Advisor Shares	D	Dividend	M	T	Buy (add'l)	04/13/20	J		
16. Artisan Global Opportunities Fund Advisor Shares	A	Dividend	L	T	Sold (part)	04/13/20	K		
17. Artisan Small Cap Fund Advisor Class	A	Dividend	K	T	Buy	11/11/20	K		

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)
18. Blackrock Commodity Strategies Fund Institutional Class	A	Dividend			Buy (add'l)	04/13/20	J		
19.					Sold	11/11/20	K		
20. IShares Inc. MSCI Eurozone ETF	A	Dividend	K	T	Buy (add'l)	04/13/20	J		
21. Fidelity Advisor Total Bond Fund Class 1	B	Dividend	L	T	Sold (part)	04/13/20	J		
22. Franklin Small-Cap Value Fund Advisor Class	A	Dividend	K	T	Buy	11/04/20	K		
23. IShares TR IShares Currency Hedged MSCI EAFE ETF	B	Dividend	L	T	Buy	04/13/20	L		
24. IShares TR Core MSCI EAFE ETF	C	Dividend			Sold	04/13/20	L		
25. IShares TR S&P 500 Value ETF	B	Dividend	L	T	Buy (add'l)	04/13/20	J		
26. Janus Henderson Enterprise Fund Class 1	A	Dividend	L	T	Buy	04/13/20	K		
27. Janus Henderson Small Cap Value Fund Class 1	A	Dividend			Buy (add'l)	04/13/20	J		
28.					Sold	11/04/20	K		
29. Matthews Pacific Tiger Fund Investor Class	A	Dividend	L	T	Sold (part)	04/13/20	J		
30. MFS International New Discovery Fund Class 1	A	Dividend			Sold	04/13/20	K		
31. Northern Mid-Cap Index Portfolio	B	Dividend	K	T	Sold (part)	04/13/20	J		
32. Northern Stock Index Fund	C	Dividend	M	T	Sold (part)	04/13/20	J		
33. PIMCO Income Fund Class 1-2	C	Dividend	L	T	Sold (part)	04/13/20	J		
34. Principal Global Real Estate SEC Fund Instl Class	A	Dividend	K	T	Buy (add'l)	04/13/20	J		

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35. PIMCO Short Term Fund Class 1-2	B	Dividend	L	T	Sold (part)	04/13/20	J		
36. Invesco QQQ TR Unit SER 1	A	Dividend	M	T	Sold (part)	04/13/20	J		
37. Invesco Oppenheimer Developing Markets Fund Class Y	A	Dividend	K	T	Buy (add'l)	04/13/20	J		
38. Royce International Premier Fund Investment Class	A	Dividend	K	T	Buy	04/13/20	K		

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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/ William E. Duffin**

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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