

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Dries, Stephen C.                                                                                                                    | <b>2. Court or Organization</b><br><br>District Court -- Eastern District of Wisconsin                                                                                                                                                                                                   | <b>3. Date of Report</b><br><br>05/05/2021                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Full-time magistrate judge                                                    | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2020<br>to<br>12/31/2020 |
| <b>7. Chambers or Office Address</b><br><br>517 E. Wisconsin Ave. Room 296<br>Milwaukee, WI 53202                                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Member       | SCD Foxwoods LLC                   |
| 2. Member       | Mountain Village LLC               |
| 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. 2001     | Jenner & Block (former law firm employer, 2001-2002) 401k plan through Fidelity Investments |
| 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><br>(yours, not spouse's) |
|-------------|-------------------------------------------|----------------------------------------|
| 1. 2018     | Gemma Halliday Publishing, book royalties | \$5,152.00                             |
| 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     | Johnson Controls, Inc. and Associated Bank, Inc |
| 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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Dries, Stephen C.        | 05/05/2021     |

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. | BMO Harris Bank | Mortgage on Rental Property #1, Neenah, WI            | P1         |
| 2. | Johnson Bank    | Mortgage on Rental Property #2, Town of Sheboygan, WI | P1         |
| 3. | Waterstone Bank | Mortgage on Rental Property #5 in Shawano, WI         | O          |
| 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Rental Property # 1, Neenah, WI                                                                                         | E                                      | Rent                                   | P1                                             | W                                  |                                           |                  |                          |                         |                                                            |
| 2. Rental Property #2, Town of Sheboygan, WI                                                                               | A                                      | Rent                                   | P1                                             | W                                  |                                           |                  |                          |                         |                                                            |
| 3. Rental Property #3, Shawano, WI                                                                                         | E                                      | Rent                                   | P1                                             | W                                  |                                           |                  |                          |                         |                                                            |
| 4. US Bank Checkking                                                                                                       | A                                      | Int./Div.                              | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Ameritrade cash reserve account                                                                                         | A                                      | Int./Div.                              | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. C common stock                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. FOX common stock                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. HAO common stock                                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 02/26/20         | J                        |                         |                                                            |
| 9. MCS common stock                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. NWS common stock                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. PSX common stock                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. SPY common stock                                                                                                       | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. AMOMX mutual fund                                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 12/26/20         | J                        |                         |                                                            |
| 14. BP common stock                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. FLPKX mutual fund                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. FXSIX mutual fund                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. VTMNX mutual fund                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

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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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                          |   |          |   |   |      |          |   |  |  |
|----------------------------------------------------------|---|----------|---|---|------|----------|---|--|--|
| 18. RERGX mutual fund                                    | A | Dividend | J | T |      |          |   |  |  |
| 19. Fidelity S&P 500 Index fund                          | A | Dividend | L | T |      |          |   |  |  |
| 20. Fidelity Mid Cap Equity Index fund                   | A | Dividend | J | T |      |          |   |  |  |
| 21. Fidelity Mid Cap Equity Growth fund                  | A | Dividend | J | T |      |          |   |  |  |
| 22. Fidelity Mid Cap Equity Fund                         | A | Dividend | J | T |      |          |   |  |  |
| 23. FISV common stock                                    | A | Dividend | M | T |      |          |   |  |  |
| 24. VIIIX mutual fund                                    | A | Dividend | N | T |      |          |   |  |  |
| 25. VWILX mutual fund                                    | A | Dividend | L | T |      |          |   |  |  |
| 26. VMCPX Mutual fund                                    | A | Dividend | K | T |      |          |   |  |  |
| 27. VRVIX mutual fund                                    | A | Dividend | L | T |      |          |   |  |  |
| 28. VMBPX mutual fund                                    | A | Dividend | J | T |      |          |   |  |  |
| 29. Edvest 529 plan "agressive age-based option age 5-8" | A | Dividend | J | T |      |          |   |  |  |
| 30. AMZN common stock                                    | A | Dividend | N | T |      |          |   |  |  |
| 31. WMT common stock                                     | A | Dividend | L | T | Buy  | 04/22/20 | K |  |  |
| 32. FNKO common stock                                    | A | Dividend |   |   | Sold | 12/30/20 | J |  |  |
| 33. KBE common stock                                     | A | Dividend | K | T | Buy  | 08/06/20 | K |  |  |
| 34. LUV common stock                                     | A | Dividend | M | T | Buy  | 08/26/20 | L |  |  |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 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<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. RCL common stock                                                                                                       | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 08/26/20         | L                        |                         |                                                            |
| 36. Ally Bank checking                                                                                                     | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37. Associated Bank checking                                                                                               | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

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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Name of Person Reporting

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

In last year's report I inadvertently left off our checking accounts at Associated Bank and Ally Bank, which we opened in 2019.

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Date 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/ Stephen C. Dries**

**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