

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Duffy, Veronica L.	2. Court or Organization South Dakota--District Court	3. Date of Report 04/12/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 400 S. Phillip Ave., Room 119 Sioux Falls, SD 57104		
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. Personal Representative	Estate #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.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

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) 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. Wells Fargo (various accounts)	A	Interest	L	T					
2. Brokerage Acct #1 (H)									
3. Franklin Income Fund Class A	A	Dividend	J	T					
4. Fundamental Inv. Inc. CL C	A	Dividend	J	T					
5. Brokerage Acct #2 (H)									
6. Franklin Income Fund Class C	A	Dividend	J	T					
7. American Funds, Growth Fund America Class C	A	Dividend	J	T					
8. Hartford Mut Fds Inc Balanced Income Fd CL C	A	Dividend	J	T	Buy	05/09/16	J		
9. American Funds: Investment Co. of America Class A	A	Dividend	J	T					
10. Brokerage Acct #3 (H)									
11. Franklin Income Fund Class A	A	Dividend	J	T	Buy (add'l)	05/09/16	J		
12. American Funds: Investment Co. of America Class B	A	Dividend	J	T					
13. IRA #1 (H)									
14. Goldman Financial Sq. Govt Fund #465 (cash/sweep account)	A	Int./Div.	L	T					
15. Capital One Financial Corp		None	J	T	Buy	09/06/16	J		
16. Emerson Electric Co.		None	J	T	Buy	09/06/16	J		
17. Fortress Investment Group		None			Sold	08/19/16	L		

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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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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18. Blackrock, Inc.	A	Dividend			Sold	08/19/16	K		
19. Silver Standard Resources		None			Sold	08/19/16	L		
20. CEL SCI CORP NEW		None			Sold	08/19/16	J		
21. General Electric Co.	A	Dividend	J	T	Sold (part)	08/19/16	K		
22. General Motors Co.	C	Dividend	K	T	Sold (part)	08/19/16	K		
23. Merck & Co. Inc.	A	Dividend	J	T	Buy	09/06/16	J		
24. Midwest Holding Inc. (Y)									
25. Proctor & Gamble Co.	A	Dividend	J	T	Buy	09/06/16	J		
26. United Technologies Corp.	A	Dividend	J	T	Buy	09/06/16	J		
27. Wells Fargo & Co. New	A	Dividend	J	T	Buy	09/06/16	J		
28. Guggenheim Total Return Bond Institutional	B	Dividend	K	T	Buy	09/01/16	J		
29.					Buy (add'l)	09/02/16	K		
30.					Buy (add'l)	10/24/16	J		
31. Pimco Income Fund - I Shares	A	Dividend	K	T	Buy	09/01/16	K		
32.					Buy (add'l)	10/24/16	J		
33. Dodge & Cos Int'l Stock Fund	A	Dividend	K	T	Buy	09/01/16	J		
34.					Buy (add'l)	10/24/16	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	
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35. Vanguard Mid Cap Index Admiral Shares	A	Dividend	K	T	Buy	09/01/16	J		
36.					Buy (add'l)	10/24/16	J		
37. JPM Undiscovered Managers Behavior Select	A	Dividend	K	T	Buy	09/01/16	J		
38.					Buy (add'l)	10/24/16	J		

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

Part I, line 1: Estate #1 was closed during 2016. All reportable estate assets and transactions are included in Part VII.

Part VII, line 1: Relocated from end of report to avoid confusion with IRA assets.

Part VII, lines 2, 5, 10, and 13: Change of header designations only.

Part VII, line 4: Name changed to include class designation.

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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/ Veronica L. Duffy

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