

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Moreno, Mark A.	2. Court or Organization U.S. District Court, D.S.D.	3. Date of Report 04/09/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - Part-Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 419 Federal Building 225 South Pierre Street Pierre SD 57501		
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.	Shareholder and President	Moreno, Lee & Bachand, P.C.
2.	Director and President	Neltom Addition Civic & Recreational Association
3.	Member	Ecliptic LLC
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. 2014	Moreno, Lee & Bachand, P.C.	\$110,228.00
2. 2014	Soccer Official	\$990.00
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. 2014	Avera St. Mary's - Nurse
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.				

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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. Common Stock - Moreno, Lee & Bachand, P.C.		None	K	U					
2. Prof. Shar. Plan & Trust - Moreno, Lee & Bachand, P.C.	E	Int./Div.	N	T					
3. SD Retirement System (SDRS) (State of SD)	A	Interest	L	T					
4. Thrift Sav. Acct. (Amer. Funds Investment Co. of Amer.)	C	Dividend	K	T					
5. SD Retirement System (SDRS) (State of SD)	A	Interest	K	T					
6. SD Retirement System Supp. Retirement Plan (State of SD)	A	Interest	J	T					
7. Common Stock (Amern Strategic Inc. Port III)	A	Dividend	J	T					
8. Mutual Fund Stock (Amer. Funds Fundamental Investors)	A	Dividend	K	T					
9. Mutual Fund Stock (Amer. Funds Growth Fund of America)	A	Dividend	J	T					
10. Mutual Fund Stock (Amer. Funds Investment Co. of Amer.)	A	Dividend			Sold	01/06/14	J		
11. Mutual Fund Stock (Amer. Funds Fundamental Investors)	A	Dividend	K	T	Sold (part)	05/02/14	J	A	
12. Mutual Fund Stock (Vanguard 500 Index)	A	Dividend	K	T					
13. Retirement Plan (Catholic Health Initiatives (CHI))	C	Interest	L	T					
14. IRA (500 Index Fund - Vanguard Group)	A	Dividend	K	T					
15. IRA (500 Index Fund - Vanguard Group)	A	Dividend	K	T					
16. Mutual Fund Stock (Vanguard 500 Index)	A	Dividend	J	T					
17. Money Market Accounts (Ameriprise)	A	Dividend	J	T					

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		

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	(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. Money Market Accounts (Ameriprise)	A	Dividend	J	T					
19. IRA (Columbia Seligman Communications Fund - Ameriprise)	A	Dividend	K	T					
20. Mutual Fund Stock (Amer. Funds Growth Fund of America)	A	Dividend	J	T					
21. Roth IRA (Oakmark Equity & Income Fund - Ameriprise)	A	Dividend	J	T					
22. Mutual Fund Stock (Oakmark Equity & Income)	A	Dividend	K	T					
23. Roth IRA (Oakmark Equity & Inc. Fund - Ameriprise)	A	Dividend	J	T					
24. Mutual Fund Stock (Managers Pimco Bond)	A	Dividend	J	T					
25. Mutual Fund Stock (T. Rowe Price Mid Cap. Value)	A	Dividend	K	T	Buy (add'l)	02/10/14	J		
26. Mutual Fund Stock (T. Rowe Price Mid Cap. Value)	A	Dividend	J	T					
27. Mutual Fund Stock (Dodge & Cox Stock)	A	Dividend	K	T					
28. Mutual Fund Stock (Dodge & Cox Balanced)	A	Dividend	K	T					
29. Mutual Fund Stock (Dodge & Cox Income)	A	Dividend	J	T					
30. Roth IRA (Stock Fund - Dodge & Cox)	A	Dividend	J	T					
31. Roth IRA (Balanced Fund - Dodge & Cox)	A	Dividend	J	T					
32. Roth IRA (Stock Fund - Dodge & Cox)	A	Dividend	J	T					
33. Roth IRA (Balanced Fund - Dodge & Cox)	A	Dividend	J	T					
34. Roth IRA (Columbia Seligman Communications Fund-Ameriprise)	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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	(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. General Electric Stock	A	Dividend	J	T					
36. IBM Stock	A	Dividend	J	T					
37. Mutual Fund Stock (Oakmark Global)	A	Dividend	K	T					
38. Mutual Fund Stock (T Rowe Price Cap. Apprec.)	A	Dividend	K	T	Buy (add'l)	02/10/14	J		
39. Mutual Fund Stock (Selected American)	A	Dividend	J	T					
40. Mutual Fund Stock (T Rowe Price Media & Telecom)	B	Dividend	K	T	Buy (add'l)	02/10/14	J		
41. Mutual Fund Stock (T Rowe Price Spectrum Growth)	A	Dividend	J	T					
42. Mutual Fund Stock (Amer. Funds Cap. Wld Gr & Inc.)	A	Dividend	J	T					
43. Roth IRA (Harbor Bond Fund - Ameriprise)	A	Dividend	J	T					
44. Roth IRA (Oakmark Global Fund - Ameriprise)	A	Dividend	J	T					
45. Roth IRA (T Rowe Price Cap Apprec Fund - Ameriprise)	A	Dividend	J	T					
46. Roth IRA (Harbor Bond Fund - Ameriprise)	A	Dividend	J	T					
47. Roth IRA (T Rowe Price Cap Apprec Fund - Ameriprise)	A	Dividend	J	T					
48. Mutual Fund Stock (Oakmark Global)	A	Dividend	J	T					
49. Mutual Fund Stock (T Rowe Price Cap Apprec)	A	Dividend	J	T					
50. Mutual Fund Stock (Selected American)	A	Dividend			Sold	01/06/14	J		
51. Mutual Fund Stock (T Rowe Price Spectrum Growth)	A	Dividend	J	T					

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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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52. Pepsico Stock	A	Dividend	J	T					
53. Mutual Fund Stock (Dodge & Cox Intl Stock)	A	Dividend	J	T					
54. Mutual Fund Stock (UMB Scout International)	A	Dividend			Sold	02/10/14	J		
55. Mutual Fund Stock (Oakmark Equity & Income)	B	Dividend	K	T	Sold (part)	05/02/14	J	A	
56. Mutual Fund Stock (Permanent Portfolio)	A	Dividend			Sold	02/10/14	J		
57. IRA (Permanent Portfolio Fund - Ameriprise)	A	Dividend			Sold	02/10/14	J		
58. IRA (Permanent Portfolio Fund - Ameriprise)	A	Dividend			Sold	02/10/14	J		
59. Mutual Fund Stock (Vanguard Wellington)	A	Dividend	K	T					
60. Mutual Fund Stock (TCW)	A	Dividend	J	T					
61. Mutual Fund Stock (Fidelity Govt. Inc.)	A	Dividend	J	T					
62. Mutual Fund Stock (Vanguard Intermediate-Term Treas.)	A	Dividend	J	T					
63. Mutual Fund Stock (Harbor Bond)	A	Dividend	J	T					
64. Mutual Fund Stock (Harbor Bond)	A	Dividend	J	T	Sold (part)	08/22/14	J	A	
65. Mutual Fund Stock (FPA Crescent)	A	Dividend	J	T					
66. Mutual Fund Stock (Columbia Seligman Communications)	A	Dividend	J	T					
67. Mutual Fund Stock (Vanguard Wellesley Inc.)	A	Dividend	J	T					
68. Mutual Fund Stock (Vanguard Dividend Growth)	A	Dividend	J	T					

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69. Mutual Fund Stock (Vanguard GNMA)	A	Dividend	J	T					
70. Mutual Fund Stock (FPA Crescent)	A	Dividend	J	T					
71. Roth IRA (Harbor Bond Fund - Ameriprise)	A	Dividend	J	T					
72. Roth IRA (Harbor Bond Fund - Ameriprise)	A	Dividend	J	T					
73. Common Stock (ALPS Corp.)		None	K	U					
74. Mutual Fund Stock (Vanguard GNMA)	A	Dividend	J	T					
75. Modern Woodman (Adjustable Life Insurance)	A	Interest	J	T					
76. Mutual Fund Stock (AMG Yacktmann)	A	Dividend	J	T					
77. Mutual Fund Stock (Amer. Funds New Perspective)	A	Dividend	J	T					
78. Mutual Fund Stock (Columbia Seligman Communications)	A	Dividend	J	T					
79. CHI Retirement Sav.(403(b)) Plan (Fidelity Contrafund-Fidelity)	B	Dividend	K	T					
80. CHI Retirement Sav(403(b))Plan(AmFunds EuroPacific Grth-Fidelity)	A	Dividend	K	T					
81. CHI Retirement Sav(403(b))Plan(Vanguard Ext. Mkt. Idx - Fidelity)	A	Dividend	K	T					
82. CHI Retirement Sav(403(b))Plan(Pimco Total Return - Fidelity)	A	Dividend	K	T					
83. Roth IRA (Vanguard Wellesley)	A	Dividend	J	T					
84. Roth IRA (Vanguard Wellesley)	A	Dividend	J	T					
85. Mutual Fund Stock (T. Rowe Price Health Sciences)	A	Dividend	K	T	Buy (add'l)	02/10/14	J		

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86. Avera Retirement Sav (403(b)) Plan (FID Freedom 2025 Fidelity)	B	Int./Div.	J	T	Buy (add'l)	01/01/14 (various)	J		
87. Ecliptic LLC	D	Distribution	M	U					
88. Cash Balance Retirement Plan (Avera)		None	J	T					
89. Mutual Fund Stock (T. Rowe Price Capital Apprec.)	A	Dividend	J	T	Buy	02/10/14	J		
90. Mutual Fund Stock (T. Rowe Price New Horizons)	A	Dividend	J	T	Buy	02/10/14	J		
91. Mutual Fund Stock (T. Rowe Price Health Sciences)	A	Dividend	J	T	Buy	02/10/14 06/20/14	J		
92. Mutual Fund Stock (Berwyn Income)	A	Dividend	J	T	Buy	02/10/14	J		
93. Mutual Fund Stock (Berwyn Income)	A	Dividend	J	T	Buy	02/10/14	J		
94. IRA (T. Rowe Price Capital Apprec. - Ameriprise)	A	Dividend	J	T	Buy	02/10/14	J		
95. IRA (T. Rowe Price Capital Apprec. - Ameriprise)	A	Dividend	J	T	Buy	02/10/14	J		
96. IRA (Berwyn Income - Ameriprise)	A	Dividend	J	T	Buy	02/12/14	J		
97. IRA (Berwyn Income - Ameriprise)	A	Dividend	J	T	Buy	02/13/14	J		

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

Part I, page 1, line 1, Part III, page 2, subpart A, line 1, Part VII, page 4, lines 1, 2 - The name of my law firm changed to Moreno, Lee & Bachand, P.C.

Part III, page 2, subpart B, line 1 - St. Mary's Healthcare Center was sold to Avera and is now called Avera St. Mary's.

Part VII, page 4, line 1 - The common stock referred to is stock I own in my law firm. Although I did not receive any income from the stock itself during the reporting period, I did earn income from my law practice with the firm during this period. See Part III, page 2, subpart A, line 1.

Part VII, page 9, line 86 -- This retirement savings plan was contributed to, each pay period, during the reporting period.

Part VII, page 9, line 88 -- This retirement plan is completely employer funded and managed and is one my spouse became eligible to participate in as a result of Avera's purchase of St. Mary's Healthcare Center from Catholic Health Initiatives (CHI) (mentioned in the second note above).

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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/ Mark A. Moreno

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