

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) Jones, David E.	2. Court or Organization Eastern District of Wisconsin	3. Date of Report 12/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge - Full-time	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 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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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. 2016

UW Hospitals & Clinics Salary

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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. TD Ameritrade Revocable Trust Account (H)									
2. TD Ameritrade Cash Reserve (FDIC Insured Account)	A	Interest	J	T					
3. DFA US Targeted Value Mutual Fund	A	Dividend	J	T					
4. DFA Tax Managed US Targeted Value Mutual Fund	A	Dividend			Sold	03/01/16	J	A	
5. DFA US Small Cap I Mutual Fund	A	Dividend	K	T	Buy	03/01/16	J		
6. DFA US Large Cap Value I Mutual Fund	B	Dividend	K	T	Buy	03/01/16	J		
7. Gabelli Equity Income I Mutual Fund	C	Dividend	K	T					
8. Gabelli Asset Mutual Fund		None			Sold	03/01/16	K	A	
9. Davis New York Venture A Mutual Fund		None			Sold	02/17/16	K	A	
10. DFA US Large Cap Equity Mutual Fund	B	Dividend	L	T	Buy	02/17/16	K		
11.					Buy (add'l)	03/01/16	K		
12. Powershares FTSE RAFI US 1000 ETF	A	Dividend	K	T					
13. Hartford Capital Appreciation A Mutual Fund		None			Sold	03/01/16	L	B	
14. Oppenheimer Global Y Mutual Fund	A	Dividend	L	T	Buy (add'l)	03/01/16	J		
15. Tweedy Browne Worldwide High Dividend Yield Mutual Fund	B	Dividend	K	T	Buy (add'l)	03/01/16	J		
16. DFA Emerging Markets Value Mutual Fund	A	Dividend	J	T					
17. Oppenheimer Developing Markets Y Mutual Fund	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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,001 - \$500,000	K = \$15,001 - \$50,000 O = \$50,001 - \$1,000,000	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	H2 = 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

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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 I (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. American Funds Limited Term Tax Exempt Bond F-2 Mutual Fund	B	Interest	L	T					
19. American Funds High-Income Municipal Bond F-2 Mutual Fund	A	Interest	K	T	Buy	03/01/16	K		
20. AMG GW&K Municipal Bond I Mutual Fund	B	Interest	L	T					
21. Thornburg Limited Term Municipal I Mutual Fund	A	Interest	J	T	Buy (add'l)	10/25/16	J		
22.									
23. TD Ameritrade IRA (H)									
24. TD Ameritrade Cash Reserve (FDIC Insured Account)	A	Interest	J	T					
25. DFA US Targeted Value Mutual Fund	B	Dividend	K	T					
26. FPA Capital Mutual Fund	C	Dividend	L	T					
27. DFA US Small Cap I Mutual Fund	B	Dividend	L	T	Buy (add'l)	03/01/16	K		
28. DFA US Large Cap Value I Mutual Fund	D	Dividend	N	T	Buy (add'l)	03/01/16	M		
29. Gabelli Asset Mutual Fund		None			Sold	03/01/16	L		
30. PIMCO RAE Fundamental Plus I Mutual Fund		None	M	T					
31. Hartford Capital Appreciation A Mutual Fund		None			Sold	03/01/16	K		
32. DFA International Value I Mutual Fund	A	Dividend	K	T	Buy (add'l)	01/05/16	J		
33. DFA International Small Cap Value Mutual Fund	A	Dividend	J	T	Buy	01/05/16	J		
34. DFA International Small Cap Mutual Fund	A	Dividend	J	T	Buy	01/05/16	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	
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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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)

35. DFA Large Cap International I Mutual Fund	A	Dividend	K	T	Buy	01/05/16	J		
36. Oppenheimer Global Y Mutual Fund	A	Dividend	K	T					
37. Tweedy Browne Global Value Mutual Fund	A	Dividend	K	T					
38. American Funds New World F-2 Mutual Fund	A	Dividend	K	T					
39. DFA Emerging Markets Small Cap Mutual Fund	A	Dividend	J	T					
40. DFA Emerging Markets Mutual Fund	A	Dividend	J	T					
41. DFA Emerging Markets Value Mutual Fund	A	Dividend	K	T					
42. Oppenheimer Developing Markets Y Mutual Fund	A	Dividend	J	T					
43. FPA Crescent Mutual Fund		None			Sold	03/01/16	K		
44. PIMCO All Asset All Authority D Mutual Fund		None			Sold	03/01/16	K		
45. Fidelity Total Bond Mutual Fund	B	Interest	L	T					
46. Goldman Sachs Local Emerging Markets Debt I Mutual Fund	A	Interest	K	T					
47. PIMCO Income Inst Mutual Fund	C	Interest	L	T					
48. FPA New Income Mutual Fund	B	Interest	L	T	Buy (add'l)	10/25/16	J		
49.									
50. TD Ameritrade Spouse IRA (H)									
51. TD Ameritrade Cash Reserve (FDIC Insured Account)	A	Interest	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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)

52. FPA Capital Mutual Fund	A	Dividend	J	T					
53. Gabelli Asset Mutual Fund		None			Sold	03/01/16	J		
54. DFA US Small Cap I Mutual Fund	B	Dividend	K	T	Buy (add'l)	03/01/16	K		
55. PIMCO RAE Fundamental Plus I Mutual Fund		None	K	T					
56. Hartford Capital Appreciation A Mutual Fund		None			Sold	03/01/16	K		
57. Oppenheimer Global Y Mutual Fund	A	Dividend	J	T					
58. Tweedy Browne Global Value Mutual Fund	A	Dividend	J	T					
59. DFA Emerging Markets Value Mutual Fund	A	Dividend	J	T					
60. Oppenheimer Developing Markets Y Mutual Fund	A	Dividend	J	T					
61. Goldman Sachs Local Emerging Markets Debt I Mutual Fund	A	Interest	J	T					
62. FPA New Income Mutual Fund	A	Interest	J	T	Sold (part)	03/01/16	J		
63.					Buy (add'l)	03/01/16	J		
64. American Funds CollegeAmerica 529 Plan (H)	A	Interest	J	T					
65. UW Credit Union Money Market Savings Account	A	Interest	L	T					
66. UW Credit Union Checking & Savings Accounts	A	Interest	K	T					
67. University of Wisconsin TIAA CREF 403(b) Retirement Plan (H)									
68. CREF Stock	A	Dividend	K	T	Sold (part)	12/05/16	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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)
69. CREF Growth	A	Dividend	K	T	Buy (add'l)	12/05/16	J		
70. CREF Global Equities	A	Dividend	K	T	Buy (add'l)	12/05/16	J		
71. CREF Bond Market	A	Interest	K	T	Buy (add'l)	08/05/16	K		
72. CREF Bond Market		None			Sold (part)	12/05/16	K		
73. CREF Social Choice	A	Dividend	K	T	Sold (part)	12/05/16	J		
74. CREF Money Market	A	Interest			Sold	08/05/16	K		
75.			K	T	Buy	12/05/16	K		
76. Wisconsin Deferred Compensation 457 Retirement Plan (H)									
77. American Fund EuroPacific Growth R6 Mutual Fund	A	Dividend	K	T					
78. DFA US Micro Cap I Mutual Fund	B	Dividend	K	T					
79. T. Rowe Price Instl Mid-Cap Equity Growth Mutual Fund	A	Dividend	K	T					
80. Fidelity Contrafund Mutual Fund	B	Dividend	K	T					
81. Vanguard Institutional Index Instl Plus Mutual Fund	B	Dividend	K	T					
82. BlackRock US Debt Index W Mutual Fund		None	J	T					
83. Galliard Capital Management Stable Value Fund		None	J	T					
84. Federated US Government Securities 2-5 year Mutual Fund	A	Interest	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 \$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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting	Date of Report
Jones, David E.	12/15/2017

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

Part VII, Investment and Trusts- there were a few funds that were exchanged to a lower cost share class in 2016 via a share class exchange. There does not seem to be an area to report this, so I updated the description of the asset in Column A. I have summarized the old fund name, new fund name, and dates of the transactions below.

TD Revocable Trust Account (H)

Line 7- All shares of Gabelli Equity Income exchanged to Gabelli Equity Income I on 6/7/2016

Line 14- All shares of Oppenheimer Global A exchanged to Oppenheimer Global Y on 3/7/2016

Line 14- Remaining shares of Oppenheimer Global A exchanged to Oppenheimer Global Y on 6/7/2016 due to subsequent purchase of A shares after 3/7/2016

Line 17- All shares of Oppenheimer Developing Markets A exchanged to Oppenheimer Developing Markets Y on 3/7/2016

Line 18- All shares of American Funds Limited Term Tax Exempt Bond F-1 exchanged to American Funds Limited Term Tax Exempt Bond F-2 on 3/7/2016

TD Ameritrade IRA (H)

Line 30- All shares of PIMCO RAE Fundamental Plus D exchanged to PIMCO RAE Fundamental Plus I on 6/7/2016

Line 36- All shares of Oppenheimer Global A exchanged to Oppenheimer Global Y on 6/7/2016

Line 38- All shares of American Funds New World F-1 exchanged to American Funds New World F-2 on 6/7/2016

Line 42- All shares of Oppenheimer Developing Markets A exchanged to Oppenheimer Developing Markets Y on 6/7/2016

Line 46- All shares of Goldman Sachs Local Emerging Markets Debt A exchanged to Goldman Sachs Local Emerging Markets Debt I on 6/7/2016

Line 47- All shares of PIMCO Income D exchanged to PIMCO Income Inst on 6/7/2016

TD Ameritrade Spouse IRA (H)

Line 55- All shares of PIMCO RAE Fundamental Plus D exchanged to PIMCO RAE Fundamental Plus I on 6/7/2016

Line 57- All shares of Oppenheimer Global A exchanged to Oppenheimer Global Y on 6/7/2016

Line 60- All shares of Oppenheimer Developing Markets A exchanged to Oppenheimer Developing Markets Y on 6/7/2016

Line 61- All shares of Goldman Sachs Local Emerging Markets Debt A exchanged to Goldman Sachs Local Emerging Markets Debt I on 6/7/2016

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Jones, David E.

Date of Report

12/15/2017

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/ **David E. Jones**

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