AO 10
Rev. 1/2019

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Peterson, James D.	District Court - Western Wisconsin	8/10/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - active status	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
120 North Henry Street, Suite 560 Madison, WI 53703		

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.	Co-Trustee	Trust No. 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.	1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
2.		
3.		

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE AND TYPE
1.	2021	SSA Retirement
2.	2021	O'Neil Cannon Hellman Dejong & Laing S.C. - expert consulting fee
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Ally Bank cash account	A	Interest	K	T					
2. UW Credit Union cash account	A	Interest	L	T					
3. Associated Banc-Corp Stock	D	Dividend	M	T					
4. CREF Stock		None	M	T					
5. Fidelity Government Money Market Fund	A	Int./Div.	K	T					
6. GK Phenomenelle Fund LLC Membership		None	J	U					
7. Fidelity Int'l Enhanced Index Fund	A	Dividend	K	T					
8. Fidelity US Bond Index Fund	C	Int./Div.	M	T					
9. Fidelity Conservative Income Bond Fd	A	Int./Div.	K	T					
10. Fidelity Inflat-Prot Bd Index Fund	A	Dividend	J	T					
11. Fidelity Flex 500 Index Fund	D	Dividend	N	T	Sold (part)	03/09/21	J	A	
12.					Sold (part)	06/08/21	J	C	
13.					Sold (part)	09/08/21	K	D	
14.					Sold (part)	12/07/21	J	C	
15. Fidelity Flex International Index Fund	C	Dividend	M	T	Sold (part)	03/09/21	J	A	
16.					Sold (part)	06/08/21	J	A	
17.					Buy (add'l)	09/08/21	J		

1 Income Gain Codes: (See Columns B1 and D4)
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
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 (See Columns C1 and D3)
J =$15,000 or less K =$15,001 - $50,000 L =$50,001 - $100,000 M =$100,001 - $250,000
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 (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
U =Book Value V =Other W =Estimated

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.						Buy (add'l)	12/07/21	J		
19.	Fidelity Flex Small Cap Index Fund	B	Int./Div.	K	T	Sold (part)	03/09/21	J	A	
20.						Buy (add'l)	06/08/21	J		
21.						Buy (add'l)	09/08/21	J		
22.						Buy (add'l)	12/07/21	J		
23.	Fidelity Flex Mid Cap Index Fund	B	Int./Div.	K	T	Sold (part)	03/09/21	J	A	
24.						Sold (part)	06/08/21	J	A	
25.						Sold (part)	09/08/21	J	A	
26.						Buy (add'l)	12/07/21	J		
27.	Fidelity Flex Cons Income Bond Fund	A	Dividend	K	T	Buy (add'l)	03/09/21	J		
28.						Buy (add'l)	06/08/21	J		
29.						Buy (add'l)	09/08/21	J		
30.						Sold (part)	12/07/21	J	A	
31.	Fidelity Flex U.S. Bond Index Fund	C	Int./Div.	N	T	Buy (add'l)	03/09/21	J		
32.						Buy (add'l)	06/08/21	J		
33.						Buy (add'l)	09/08/21	J		
34.						Sold (part)	12/07/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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. Fidelity Flex Government Money Mkt	A	Dividend	J	T					
36. Fidelity Deposit at BNY Mellon	A	Interest	K	T					
37. Fidelity Deposit Peoples Bank	A	Interest	J	T					
38. IShares Core S&P Small Cap	A	Dividend	K	T					
39. IShares TR EAFE Sml Cp	A	Int./Div.	J	T					
40. IShares TR EAFE Grwth ETF	A	Dividend	J	T					
41. IShares Inc Core MSCI Emerging Mkts	A	Dividend	K	T					
42. Ishares Inc Core MSCJ Emerging Mkts ETF (W)	A	Dividend			Sold	9/23/19	J	A	
43. Fidelity Flex 500 Index Fund.	B	Dividend	M	T	Sold (part)	03/09/21	J	A	
44.					Buy (add'l)	03/17/21	K		
45.					Sold (part)	06/15/21	J	A	
46.					Sold (part)	09/14/21	J	A	
47.					Sold (part)	12/14/21	J	B	
48. Fidelity Flex Cons Income Bond Fund.	A	Dividend	K	T	Buy (add'l)	03/09/21	J		
49.					Buy (add'l)	03/17/21	J		
50.					Buy (add'l)	06/15/21	J		
51.					Buy (add'l)	09/14/21	J		

1 Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure	(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.					Buy (add'l)	12/14/21	J		
53. Fidelity Flex International Index.	B	Dividend	L	T	Sold (part)	03/09/21	J	A	
54.					Buy (add'l)	03/17/21	J		
55.					Sold (part)	06/15/21	J	A	
56.					Buy (add'l)	09/14/21	J		
57.					Buy (add'l)	12/14/21	J		
58. Fidelity Flex Small Cap Index Fund.	A	Dividend	K	T	Sold (part)	03/09/21	J	A	
59.					Buy (add'l)	03/17/21	J		
60.					Buy (add'l)	06/15/21	J		
61.					Buy (add'l)	09/14/21	J		
62.					Buy (add'l)	12/14/21	J		
63. Fidelity Flex U.S. Mid Cap Index Fund.	A	Dividend	K	T	Sold (part)	03/09/21	J	A	
64.					Buy (add'l)	03/17/21	J		
65.					Sold (part)	06/15/21	J	A	
66.					Sold (part)	09/14/21	J	A	
67.					Buy (add'l)	12/14/21	J		
68. Fidelity Flex U.S. Bond Index Fund.	B	Dividend	M	T	Buy (add'l)	03/09/21	J		

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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	B		C		D				
	Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.						Buy (add'l)	03/17/21	K		
70.						Buy (add'l)	06/15/21	J		
71.						Buy (add'l)	09/14/21	J		
72.						Buy (add'l)	12/14/21	J		
73.	Vanguard Institutional Index.	D	Dividend	M	T	Sold (part)	07/01/21	K	A	
74.	Vanguard Total Bond MKT ADM.	A	Int./Div.	K	T	Sold (part)	07/01/21	J	A	
75.	Vanguard Target Retirement 2020.	D	Dividend	L	T	Sold (part)	07/01/21	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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

Investment designated at line 42 was sold on September 23, 2019 and was erroneously included on the 2020 report.

Name of Person Reporting	Date of Report
Peterson, James D.	8/10/2022

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/ James D. Peterson

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