AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Peterson, James D.	District Court - Western Wisconsin	6/25/2024
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	01/01/2023 **to** 12/31/2023
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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Co-Trustee	Trust No. 1 (Part VII, Lines 55-81)
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
2.		
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☐ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.	2023	Wayne State University Press - Royalty	$291.28
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
1.	2023	SSA Retirement
2.	2023	Self-Employed Expert Consultant
3.		
4.		

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	court	August 27 - 29, 2023	Lake Geneva, WI	Seventh Circuit Judicial Conference	transportation, lodging and meals
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Peterson, James D.	6/25/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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)	
1.	Ally Bank cash account	A	Interest			Closed	01/03/23	J	A	
2.	UW Credit Union cash account	A	Interest	K	T					
3.	U.S. Savings Bonds		None	K	T					
4.	CREF Stock		None	M	T					
5.	Charles Schwab Cash Account	A	Interest	L	T					
6.	GK Phenonenelle Fund LLC Membership		None	J	U					
7.	Vanguard Institutional Index	A	Dividend	L	T	Sold (part)	07/01/23	K		
8.	Vanguard Total Bond MKT ADM	A	Dividend			Sold	07/01/23	J	A	
9.	Vanguard Target Retirement 2020	A	Dividend	K	T	Sold (part)	07/01/23	J		
10.	SPDR Series Trust Bloomberg Emergin Markets Fund (EBND)	A	Dividend	K	T					
11.	First Trust Exchange Traded Fund (FTGC)	B	Dividend			Sold	12/28/23	K	A	
12.	Flexshares Trust Morningstar Fund (GUNR)	C	Dividend	L	T	Sold (part)	01/11/23	J		
13.						Buy (add'l)	02/14/23	J		
14.						Buy (add'l)	03/15/23	J		
15.						Sold (part)	04/29/23	J		
16.						Buy (add'l)	05/23/23	J		
17.						Buy (add'l)	06/15/23	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.	6/25/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.					Sold (part)	07/27/23	J		
19.					Sold (part)	09/12/23	J		
20.					Sold (part)	10/19/23	J		
21.					Sold (part)	12/28/23	K		
22. SPDR Index Shares Fund S&P Intl SmCap (GWX)	B	Dividend	K	T	Buy (add'l)	01/11/23	J		
23.					Buy (add'l)	10/19/23	J		
24.					Sold (part)	12/28/23	J		
25. Vaneck ETF Trust Vaneck Rare Earth Fund (REMX)	A	Dividend	K	T	Buy (add'l)	01/11/23	J		
26.					Buy (add'l)	03/15/23	J		
27.					Buy (add'l)	10/19/23	J		
28. SPDR Index Shares Fund DJ GLB (RWO)	B	Dividend	K	T	Buy (add'l)	01/11/23	J		
29.					Buy (add'l)	10/19/23	J		
30.					Sold (part)	12/28/23	J		
31. SPDR Series Trust Porfolio Fund AGRGTE (SPAB)	C	Dividend	M	T	Buy (add'l)	01/11/23	J		
32.					Buy (add'l)	02/14/23	J		
33.					Sold (part)	03/15/23	J		
34.					Buy (add'l)	04/19/23	J		

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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
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35.					Buy (add'l)	06/15/23	J		
36. SPDR Index Shares Fund Portfolio Devlpd (SPDW)	D	Dividend	M	T	Sold (part)	02/14/23	J		
37. SPDR Index Shared Fund Porfotlio Emg Mk (SPEM)	C	Dividend	L	T	Buy (add'l)	07/27/23	J		
38. SPDR Portfolio High Yield Fund (SPHY)	B	Dividend	J	T	Buy (add'l)	01/11/23	J		
39. SPDR Series Trust Portfolio S&P 500 Fund (SPLG)	D	Dividend	N	T	Sold (part)	06/15/23	J		
40.					Sold (part)	10/19/23	J		
41. SPDR Series Trust Portfolio S&P 400 Mid-Cap Fund (SPMD)	A	Dividend	K	T					
42. SPDR Portfolio S&P 600 Sm Cap Fund (SPSM)	A	Dividend	K	T					
43. SPDR Series Trust Portfolio Fund INTRMDIT (SPTI)	A	Dividend			Sold	01/11/23	K	A	
44. SPDR Serices Trust Portfolio LN TSR Fund (SPTL)	B	Dividend	K	T	Buy	07/27/23	J		
45.					Buy (add'l)	10/19/23	J		
46.					Buy (add'l)	12/28/23	J		
47. SSGA Active Blackstone Senior Loan Fund (SRLN)	B	Dividend	K	T	Sold (part)	01/11/23	J		
48. SPDR Bloombrg Emg Mrk Usd Bnd ETF (EMHC)	A	Dividend	K	T	Buy	12/28/23	K		
49. Ft Alternative Abslt Rtrn Strtgy ETF (FAAR)	A	Dividend	L	T	Buy	12/28/23	L		
50. First Trust GBL TTCL Comdty Stra ETF (FTGC)	A	Dividend			Buy	01/11/23	J		
51.					Sold	12/28/23	K	A	

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52. FT Indxx Globarl Ntrl Rsurcs Incm ETF (FTRI)	A	Dividend	L	T	Buy	12/28/23	L		
53. SPDR Bloomberg 1 10 YR Tips EFT (TIPX)	A	Dividend			Buy	01/11/23	J		
54.					Sold	12/28/23	J	A	
55. Invenco Exchange Traded Self 2023 Muni Fund (BSMN)..	A	Dividend			Sold	12/19/23	K	A	
56. Invesco Exchange Traded Self 2024 Muni Fund (BSMO)..	A	Dividend	K	T	Sold (part)	03/15/23	J		
57.					Buy (add'l)	04/19/23	J		
58.					Buy (add'l)	07/27/23	J		
59. Flexshare Trust Mornstar Upstr Fund (GUNR)..	A	Dividend			Sold	01/03/23	J	A	
60. SPDR Index Shares Fund DJ GLB RL RS (RWD)..	A	Dividend			Sold	01/03/23	J	A	
61. SPDR Index Shares Fund Portfolio Devlpd (SPDW)..	A	Dividend			Sold	01/03/23	K	A	
62. SPDR Index Shares Fund Portfolio Emg Mk (SPEM)..	B	Dividend			Sold	01/03/23	J	A	
63. SPDR Index Shares Fund Portfolio S&P 500 (SPLG)..	A	Dividend			Sold	01/03/23	L	A	
64. SPDR Index Shares Fund Portfolio S&P 400 Mid Cap (SPMD)..	A	Dividend			Sold	01/03/23	J	A	
65. SPDR Index Shares Fund Portfolio S&P 600 Sm Cap (SPSM)..	A	Dividend			Sold	01/03/23	K	A	
66. Avantis International Equity ETF (AVDE)..	A	Dividend			Buy	01/03/23	K		
67.					Sold	01/11/23	K	A	
68. Invesco Exchange Traded Self 2025 Muni Fund (BSMP)..	A	Dividend	K	T	Buy	01/03/23	K		

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69.					Buy (add'l)	05/23/23	J		
70.					Buy (add'l)	09/12/23	J		
71.					Buy (add'l)	10/19/23	J		
72. WisdomTree Trust US Value Fund EFT (WTV)..	A	Dividend	J	T	Buy	01/03/23	J		
73. WisdomTree Trust US Mid Cap Divid ETF (DON)	A	Dividend	J	T	Buy	01/03/23	J		
74. WisdomTree Trust US S Cap Qty Div ETF (DGRS)..	A	Dividend	K	T	Buy	01/03/23	J		
75.					Buy (add'l)	06/15/23	J		
76. Schwab Strategic TR US L Cap Gr ETF (SCHG)..	A	Dividend	K	T	Buy	01/03/23	J		
77.					Sold (part)	04/19/23	J		
78.					Sold (part)	06/15/23	J		
79. WisdomTree Trust US Large Cap Fund ETF (EPS)..	A	Dividend	L	T	Buy	01/03/23	K		
80. WisdomTree US Efficient Core US Multifactore ETF (USMF)..	A	Dividend	K	T	Buy	03/15/23	K		
81. WisdomTree US Qlt Div (DGRW)..	A	Dividend	K	T	Buy	01/11/23	K		
82. SPDR Series Trust Bloomberg Emerging Mar Fund (EBND).	A	Dividend	J	T					
83. First Trust Exchange Traded FU FST Fund (FTGC).	B	Dividend			Buy (add'l)	01/11/23	J		
84.					Sold	12/28/23	L	A	
85. Flexshares Trust MorningStar UPSTR Fund (GUNR).	C	Dividend	L	T	Sold (part)	01/11/23	J		

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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	
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86.					Buy (add'l)	02/14/23	J		
87.					Buy (add'l)	03/15/23	J		
88.					Sold (part)	04/19/23	J		
89.					Buy (add'l)	05/23/23	J		
90.					Sold (part)	06/15/23	J		
91.					Buy (add'l)	09/12/23	J		
92.					Sold (part)	10/19/23	J		
93.					Sold (part)	12/28/23	L		
94.	SPDR Index Shares Fund S&P Intl Sm Cap (GWX).	A	Dividend	K	T	Buy (add'l)	01/11/23	J		
95.					Sold (part)	12/28/23	J		
96.	Vaneck ETF Trust Vaneck Rare Earth Fund (REMX).	A	Dividend	K	T	Buy (add'l)	01/11/23	J		
97.					Buy (add'l)	03/15/23	J		
98.					Buy (add'l)	09/12/23	J		
99.					Buy (add'l)	10/19/23	J		
100.	SPDR Index Shares Fund DJ GLB RL ES (RWO).	B	Dividend	K	T	Buy (add'l)	01/11/23	J		
101.					Buy (add'l)	10/19/23	J		
102.					Sold (part)	12/28/23	J		

1. Income Gain Codes: (See Columns B1 and D4)
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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
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Name of Person Reporting	Date of Report
Peterson, James D.	6/25/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
103. SPDR Series Trust Portfolio Fund AGRGTE (SPAB).	C	Dividend	M	T	Buy (add'l)	01/11/23	J		
104.					Buy (add'l)	04/19/23	J		
105.					Buy (add'l)	07/27/23	J		
106. SPDR Index Shares Fund Portfolio Devlpd (SPDW).	D	Dividend	M	T	Sold (part)	01/11/23	J		
107. SPDR Index Shares Fund Portfolio Emg Mt (SPEM).	C	Dividend	L	T	Buy (add'l)	09/12/23	J		
108. SPDR Portfolio High Yld Fund (SPHY).	B	Dividend	J	T	Buy (add'l)	01/11/23	J		
109. SPDR Series Trust Portfolio S&P 500 Fund (SPLG).	D	Dividend	N	T	Sold (part)	02/14/23	J		
110.					Sold (part)	05/23/23	J		
111.					Sold (part)	09/12/23	J		
112.					Sold (part)	10/19/23	J		
113. SPDR Series Trust Portfolio S&P 400 Mid Cap Fund (SPMD).	A	Dividend	K	T	Sold (part)	12/28/23	J		
114. SPDR Series Trust Portfolio S&P 600 Sm Cap Fund (SPSM).	A	Dividend	K	T					
115. SPDR Series Trust Portfolio INTRMDIT Fund (SPTI).	A	Dividend			Sold	01/11/23	K	A	
116. SPDR Series Trust Portfolio LN TSR Fund (SPTL).	B	Dividend	K	T	Sold (part)	03/15/23	J		
117.					Buy (add'l)	05/23/23	J		
118.					Buy (add'l)	10/19/23	J		
119.					Buy (add'l)	12/28/23	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.	6/25/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120. SSGA Active Blackstone Senior Loan Fund (SRLN).	B	Dividend	J	T	Sold (part)	01/11/23	J		
121. SPDR Bloomberg Emerging Market USD Bond Fund (EMHC).	A	Dividend	K	T	Buy	12/28/23	K		
122. Ft Alternative Abslt Rtrn Strtgy ETC Fund (FARR).	A	Dividend	L	T	Buy	12/28/23	L		
123. Ft Indxx Global Ntrl Rsurcs Incm ETF Fund (FTRI).	A	Dividend	L	T	Buy	12/28/23	L		
124. SPDR Bloomberg 1 10 Yr Tips EFT Fund (TIPX).	A	Dividend			Buy	01/11/23	J		
125.					Sold	12/28/23	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.	6/25/2024

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

Name of Person Reporting	Date of Report
Peterson, James D.	6/25/2024

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. § 13141 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. § 13106)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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