

James D. Peterson
3017 Irvington Way
Madison, WI 53713

January 6, 2014

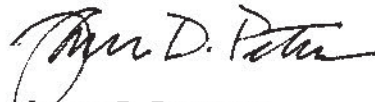
The Honorable Patrick J. Leahy
Chairman
Committee on the Judiciary
United States Senate
Washington, DC 20510

Dear Mr. Chairman:

I have reviewed the Senate Questionnaire that I filed in connection with my nomination on November 7, 2013, to be a United States District Judge for the Western District of Wisconsin. I certify that to the best of my knowledge the information in that document is and remains true and accurate.

I am also forwarding an updated Net Worth Statement and Financial Disclosure Report as requested in the Questionnaire. I thank the Committee for its consideration of my nomination.

Very truly yours,



James D. Peterson

cc: The Honorable Charles Grassley
Ranking Member
Committee on the Judiciary
United States Senate
Washington, DC 20510

**FINANCIAL DISCLOSURE REPORT
NOMINATION FILING**

*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) Peterson, James D.	2. Court or Organization District Court - Western District of Wisconsin	3. Date of Report 01/06/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) District Judge Active Status	5a. Report Type (check appropriate type) ☒ Nomination Date 01/06/2014 ☐ Initial ☐ Annual ☐ Final	6. Reporting Period 01/01/2013 to 12/22/2013
	5b. ☐ Amended Report	
7. Chambers or Office Address Godfrey & Kahn, S.C One East Main Street, Suite 500 Madison, Wisconsin 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Shareholder	Godfrey & Kahn, S.C
2. President	Western District Bar Association
3. President-elect	Western District Bar Association
4. Co-trustee	Trust No. 1
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. 1998-1999	Wisconsin Retirement System Plan; balance payable at retirement
2. 2009	Promissory Note - Godfrey & Kahn, S.C.; payable from 2019-2023
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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. 2013	Godfrey & Kahn, S.C. - salary	\$171,167.00
2. 2012	Godfrey & Kahn, S.C. - salary	\$293,772.00
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. 2013	Associated Banc-Corp - salary and bonus
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. Exempt				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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. Exempt			
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 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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. Ally Bank cash account	A	Interest	M	T	Exempt				
2. Associated Bank cash account	A	Interest	J	T					
3. UW Credit Union cash account	A	Interest	J	T					
4. Promissory Note - Godfrey & Kahn, S.C.	B	Interest	K	T					
5. Associated Banc-Corp Stock	A	Dividend	K	T					
6. BMO Financial Group Stock	A	Dividend	K	T					
7. Fidelity National Information Services Stock	A	Dividend	J	T					
8. American Funds EuroPacific Growth Fund	A	Int./Div.	J	T					
9. BMO Short-Intermediate Bond Fund	B	Int./Div.	M	T					
10. Columbia Acorn Fund	E	Int./Div.	N	T					
11. Columbia Mid Cap Value Fund	B	Int./Div.	J	T					
12. CREF Stock		None	L	T					
13. Dodge & Cox Stock Fund	A	Int./Div.	K	T					
14. Fidelity Government Money Market Fund	A	Int./Div.	J	T					
15. Fidelity Small Cap Value Fund	A	Int./Div.	J	T					
16. Franklin Templeton Moderate Allocation Fund	A	Int./Div.	K	T					
17. Harbor International Institutional Fund	A	Int./Div.	K	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 5 of 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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)
18. Spartan 500 Index Fund	A	Int./Div.	M	T					
19. Spartan Mid Cap Index Fund	A	Int./Div.	J	T					
20. Spartan Small Cap Index Fund	A	Int./Div.	J	T					
21. T. Rowe Price Growth Stock Fund	A	Int./Div.	K	T					
22. Vanguard Institutional Index Fund	A	Int./Div.	M	T					
23. Vanguard Balanced Index Fund	B	Int./Div.	N	T					
24. Godfrey & Kahn, S.C. Stock		None	J	U					
25. GK Phenomenelle Fund LLC Membership		None	K	U					
26. 2011 Water Street Investors I		None	J	U					
27. 2011 Water Street Investors II		None	J	U					
28. Northwestern Mutual Universal Life	A	Interest	J	T					
29. Vanguard 500 Index Fund	B	Int./Div.							
30. Alger Spectra Fund	A	Int./Div.							
31. Nuveen Real Estate Securities Fund	A	Int./Div.							

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 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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

Trust No. 1 has no reportable assets.

The Alger Spectra Fund and the Nuveen Real Estate Securities Fund listed in Part VII were inadvertently omitted from the previous Nomination Report dated November 7, 2013.

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

Peterson, James D.

Date of Report

01/06/2014

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

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks		169	495	Notes payable to banks-secured			
U.S. Government securities				Notes payable to banks-unsecured			
Listed securities – see schedule	1	322	701	Notes payable to relatives			
Unlisted securities – see schedule		36	294	Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others		50	000	Other unpaid income and interest			
Doubtful				Real estate mortgages payable – personal residence		197	202
Real estate owned – personal residence		347	000	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property		82	000				
Cash value-life insurance		5	851				
Other assets itemize:							
Wisconsin Retirement System Pension Plan		5	210				
				Total liabilities		197	202
				Net Worth	1	821	314
Total Assets	2	018	551	Total liabilities and net worth	2	018	551
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor		7	650	Are any assets pledged? (Add schedule)	No		
On leases or contracts				Are you defendant in any suits or legal actions?	No		
Legal Claims				Have you ever taken bankruptcy?	No		
Provision for Federal Income Tax							
Other special debt							

FINANCIAL STATEMENT

NET WORTH SCHEDULES

Listed Securities

American Funds EuroPacific Growth Fund.	\$ 14,183
Associated Banc-Corp stock.	42,043
BMO Financial Group stock.	20,879
BMO Short-Intermediate Bond Fund.	128,948
Columbia Acorn Fund.	321,863
Columbia Mid Cap Value Fund.	12,637
CREF Stock.	59,485
Dodge & Cox Stock Fund.	31,753
Fidelity Government Money Market Fund.	3,708
Fidelity National Information Services stock.	782
Fidelity Small Cap Value Fund.	7,825
Franklin Templeton Moderate Allocation Fund.	38,120
Harbor International Institutional Fund.	37,422
Spartan 500 Index Fund.	115,354
Spartan Mid Cap Index Fund.	7,735
Spartan Small Cap Index Fund.	5,960
T. Rowe Price Growth Stock Fund.	29,142
Vanguard Institutional Index Fund.	149,062
Vanguard Balanced Index Fund.	295,801
Total Listed Securities	\$ 1,322,701

Unlisted Securities

Godfrey & Kahn, S.C.	\$ 14,640
GK Phenomelle Fund LLC	18,484
2011 Water Street Investors I	1,032
2011 Water Street Investors II	2,138
Total Unlisted Securities	\$ 36,294