

# Statement of Economic Interests

Filed in 2016 for calendar year 2015 by

**Wachs, Dana**

Legislature

Assembly District 91

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GOVERNMENT

FOR EXPLANATIONS, EXAMPLES AND EXCEPTIONS SEE THE INSTRUCTIONS OR VISIT OUR WEBSITE AT <http://ethics.state.wi.us>.  
Still have questions? For priority service send an e-mail to: [GABEthics@wi.gov](mailto:GABEthics@wi.gov); otherwise leave a detailed message at (608) 261-2028.

ATTACH ADDITIONAL PAGES AS NEEDED/PLEASE SEE INSTRUCTIONS

**Part A**

**As of December 31, 2015**

**1. INVESTMENTS**

**a) WISCONSIN DEFERRED COMPENSATION PROGRAM**

If you held an investment in a fund available within the Wisconsin Deferred Compensation Program, please place a checkmark next to each fund in which you held \$5,000 or more, whether held privately or through the Program.

Profile Series	More than \$5,000 to \$50,000		Small Cap	More than \$5,000 to \$50,000		Bond	More than \$5,000 to \$50,000	
	\$5,000 to \$50,000	More than \$50,000		\$5,000 to \$50,000	More than \$50,000		\$5,000 to \$50,000	More than \$50,000
Vanguard Retirement 2055	<input type="checkbox"/>	<input type="checkbox"/>	BlackRock Russell 2000 Index	<input type="checkbox"/>	<input type="checkbox"/>	BlackRock US Debt Index	<input type="checkbox"/>	<input type="checkbox"/>
Vanguard Retirement 2045	<input type="checkbox"/>	<input type="checkbox"/>	DFA US Micro Cap	<input type="checkbox"/>	<input type="checkbox"/>	Federated US Government Securities 2-5yr	<input type="checkbox"/>	<input type="checkbox"/>
Vanguard Retirement 2035	<input type="checkbox"/>	<input type="checkbox"/>	<b>Mid Cap</b>			Vanguard Long-term Investment Grade Adm	<input type="checkbox"/>	<input type="checkbox"/>
Vanguard Retirement 2025	<input type="checkbox"/>	<input type="checkbox"/>	BlackRock Mid Cap Equity Index	<input type="checkbox"/>	<input type="checkbox"/>			
Vanguard Retirement 2015	<input type="checkbox"/>	<input type="checkbox"/>	T Rowe Price Mid Cap Growth	<input type="checkbox"/>	<input type="checkbox"/>	<b>Money Market</b>		
Vanguard Target Retirement Income	<input type="checkbox"/>	<input type="checkbox"/>	<b>Large Cap</b>			Vanguard Admiral Treasury Money Market	<input type="checkbox"/>	<input type="checkbox"/>
			Calvert Social Investment Equity	<input type="checkbox"/>	<input type="checkbox"/>	<b>Fixed</b>		
			Fidelity Contrafund	<input type="checkbox"/>	<input type="checkbox"/>	Stable Value	<input type="checkbox"/>	<input type="checkbox"/>
<b>International</b>			Vanguard Institutional Index Plus	<input type="checkbox"/>	<input type="checkbox"/>	FDIC Bank Option	<input type="checkbox"/>	<input type="checkbox"/>
American Euro Pacific Growth	<input type="checkbox"/>	<input type="checkbox"/>	Vanguard Wellington-Admiral Shares	<input type="checkbox"/>	<input type="checkbox"/>			
BlackRock EAFE Equity Index	<input type="checkbox"/>	<input type="checkbox"/>						

**b) OTHER INVESTMENTS** List stocks, bonds, limited partnerships, Wisconsin governmental securities, and mutual and money market funds in which you and your family's interest was valued at \$5,000 or more.

**MUTUAL OR MONEY MARKET FUND**

(check one) \$5,000 to \$50,000 More than \$50,000

Balck <del>Rowe</del> Funds II Strategic Income Oppty	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Eaton Vance <del>Mut Funds Trust Global Macro</del> <i>Janus INVT Fd Flexible Bd Fd</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Eagle Fds Inc Global Fd CI I	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Harris Assoc Invt TR Oakmark Global Fd <i>Metropolitan West Fds Total return Bd</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
WY Fds Inc Asset Strategy Fd CH I <i>Henderson Global Fds Int'l Opport. CL</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Loomis Sayles FDS II Invt Grade Bd Fd <i>American Europacific Growth Fu CL F2</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pimco Total Return <i>Harris Assoc Invt TR Oakmark Global Fd CL I</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<del>Pimco Unconstrained Bd Fund LLC First International</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Templeton Income TR Global Bd Fd Advisor	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Thornberg <del>INVT TR Global Opportunity</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Thornburg Income TR Ltd Term Income Fd	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vanguard Industrials <del>FI</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Western Asset Funds Income Asset Total Return	<input checked="" type="checkbox"/>	<input type="checkbox"/>

*Handwritten signature/initials*

**STOCKS/OPTIONS/FUTURES** (check one) \$5,000 to \$50,000 More than \$50,000

<del>Blackrock Global Allocation Fund Inc</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Cisco Systems Inc	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Trust Consumer ET Staples	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Trust Financial ET Alphasdex	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Trust Health Care TF Alphasdex Fund	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Trust Nasdaq 100 ET Tech Fund Index	<input checked="" type="checkbox"/>	<input type="checkbox"/>
First Trust Technology ET Alpha	<input checked="" type="checkbox"/>	<input type="checkbox"/>
General Electric	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Monsanto Co. New	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<del>Spdr Gold Trust Gold Shares</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<del>SPDR S&amp;P 500 Trust ET SPY</del>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vanguard Consumer ET Discretionary	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vanguard Energy ET VDE <i>Information ET Technology</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vanguard Industrials ET VIS	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Walt Disney Co	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Energy Select Sector SPDR</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>Vanguard Large Cap ET</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**BONDS** (check one) \$5,000 to \$50,000 More than \$50,000

<i>Virtus Multi Sector Short term Bond fund</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

**LIMITED PARTNERSHIPS** (check one) \$5,000 to \$50,000 More than \$50,000

	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

**WISCONSIN GOVERNMENTAL SECURITIES** (check one) \$5,000 to \$50,000 More than \$50,000

	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

**2. BUSINESS ACTIVITIES** List businesses, farms, rental, commercial, and income-producing real estate; and business activities in which you or your family had at least a 10% or greater interest.

a) Enterprise(s) operating under a business or trade name, list here.

Name of business	Municipality or Town	County	State	Describe nature of business
Beverly Wickstrom Fine Art Photography	Eau Claire	Eau Claire	WI	Photography
Richie, Wickstrom & Wachs LLP	Eau Claire	Eau Claire	WI	Law Firm
Southern Oaks	Eau Claire	Eau Claire	WI	Land Partnership
<i>Justman LLC</i>	<i>Eau Claire</i>	<i>Eau Claire</i>	<i>WI</i>	<i>Investment firm</i>

b) Enterprise(s) NOT operating under a business or trade name, list here.

Name of business	Municipality or Town	County	State	Describe nature of business

**3. COMMERCIAL CUSTOMERS, CLIENTS, AND TENANTS** For each unincorporated business, subchapter S corporation, service corporation (SC), limited liability company (LLC), partnership, or income-producing real estate reported in Item 2, from which the filer or a member of the filer's immediate family received \$10,000 or more in 2015, list businesses, organizations, and lobbyists that paid the enterprise \$10,000 or more in calendar year 2015.

Check if the organization authorized you to represent it in its dealings with others as an attorney-at-law, agent, spokesperson, or representative.

Businesses, organizations, lobbyists that were customers, clients, or tenants	City	State	"✓"
Sentry Insurance Co	Stevens Point	WI	<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

**4. BUSINESS PARTNERS** For each enterprise reported under Item 2, list its co-owners, partners, officers, and directors (other than yourself), unless the information is already registered with the Wisconsin Department of Financial Institutions.

Business	Partners, or officers and directors	City	State
Richie, Wickstrom & Wachs LLP	John P Richie, Beverly Wickstrom	Eau Claire	WI
Southern Oaks	Pamela Wachs-Baily, William Baily	Eau Claire	WI
Southern Oaks	Rochelle Wachs Arnold, Lucille Wachs Estate	Eau Claire	WI
Just Hal LLC	Beverly Wickstrom	Eau Claire	WI

**5. NON-COMMERCIAL REAL ESTATE** List the specific location of WISCONSIN REAL ESTATE in which you or your family had an interest (except your principal residence and real estate whose location you already listed in item 2).

Location of property Street address or fire number	Municipality or town	County	Nature of interest (e.g. own, lease, option, easement, land contract)
11096 S Tiger Cat Dam Rd	Round Lake	Sawyer	own
437 Lincoln Ave	Eau Claire	Eau Claire	own

**6. OFFICERS AND DIRECTORS** List organizations of which you or a family member was an officer or director (unless already listed in item 2).

Business or organization	City	State	Position
<del>Chippewa Valley Jazz Orchestra</del>	<del>Eau Claire</del>	<del>WI</del>	<del>Board Member</del>
Eau Claire County Democratic Party	Eau Claire	WI	Officer
Eau Claire Interfaith Hospitality Network	Eau Claire	WI	Board of Trustees Member
Wisconsin Association for Justice	Madison	WI	Board Member

**7. AGENT, REPRESENTATIVE OR SPOKESPERSON** List organizations that authorized you or a family member to represent them in their dealings with others as an attorney-at-law, agent, spokesperson, or representative (unless already listed in item 2, 3 or 6).

Business or organization	City	State

**8. CREDITORS** List creditors to which you or your family owed \$5,000 or more. (check one)

Creditor	City	State	\$5,000 to \$50,000	More than \$50,000
Associated Bank	Eau Claire	Eau Claire	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Elan/Card Member Services	St Louis	MO	<input checked="" type="checkbox"/>	<input type="checkbox"/>
RCU	Eau Claire	WI	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Wells Fargo	Eau Claire	WI	<input checked="" type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>

**Part B** For calendar year 2015

**9. EMPLOYERS** List your and your family's EMPLOYERS (\$1,000 or more of income) in 2015.

Name of employer (if State of Wisconsin, also identify agency or institution)	City	State	Nature of employer's business
Wisconsin State Legislature	Madison	WI	Government
Richie Wickstrom & Wachs LLP	Eau Claire	WI	Law firm

**10. ADDITIONAL SOURCES OF INCOME** List other sources from which you or your family received income of \$1,000 or more in 2015.

Source of income	City	State

**11. ENTERTAINMENT AND GIFTS** List individuals and organizations that provided you with entertainment or gifts (more than \$50) in 2015.

Name of provider	City	State

**12. HONORARIA AND EXPENSES** List, for 2015, sources of honoraria and payment of expenses related to your state government duties (more than \$50) not previously reported to the Government Accountability Board.

Payer	Approximate value of expenses	Amount of honorarium	Circumstances of receipt

## FILING NOTES -or- COMMENTS

If we saw an opportunity to clarify a prior report, we added comments or filing tips below. Please review any comments and make the appropriate corrections.

## CERTIFICATION

I have read the accompanying instructions and certify that the information contained in this Statement of Economic Interests is true, complete, and correct to the best of my knowledge, information, and belief. In the event this Statement of Economic Interests is filed prior to December 31st for an election in the following year, I certify that I will amend it on or before the statutory filing deadline if an amendment is necessary to bring it into conformity with the true statement of my economic interests as of December 31, 2015. If any part has been left blank, I have done so intentionally because there is nothing to report.



Signature of person filing

Daytime phone # (608) 266-7461

4/11/16

Date

rep.wachs@legis.wisconsin.gov

E-mail address

The information sought in this form is required by §§19.43 and 19.44, *Wisconsin Statutes*. Failure to file a completed form may result in a forfeiture of up to \$500. Statements of Economic Interests are open for public inspection. The Government Accountability Board will notify you of the identity of any person who examines your Statement. In accordance with §15.04(1)(m), *Wisconsin Statutes*, the Government Accountability Board states that no personally identifiable information is likely to be used for purposes other than those for which it is collected.

Mail, email or fax to:

Wisconsin Government Accountability Board, P.O. Box 7984, Madison, WI 53707-7984;

Email: GABEthics@wi.gov; Fax: (608) 264-9319

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