

Statement of Economic Interests

Filed in 2010 for calendar year 2009 by

Neubauer, Lisa S.

Court of Appeals

Court of Appeals Judge District 02

RECEIVED

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Wisconsin Government Accountability Board

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; otherwise leave a detailed message at (608) 261-2028.
 ATTACH ADDITIONAL PAGES AS NEEDED/PLEASE SEE INSTRUCTIONS

Part A

As of December 31, 2009

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

	\$5,000 to \$50,000	More than \$50,000
American Century Ultra	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Fidelity Blue Chip Growth	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Fidelity Fund	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Foley and Lardner Defined Contribution Plan	<input type="checkbox"/>	<input checked="" type="checkbox"/>
INVEST Prime	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Janus Fund	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Janus Global Technology	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Janus Mercury	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Janus research	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Morgan Stanley Liquid Asset	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Morgan Stanley S & P 500 Index	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Vanguard 401(k)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
WI Edvest College Savings	<input type="checkbox"/>	<input checked="" type="checkbox"/>

STOCKS/OPTIONS/FUTURES	(check one)	\$5,000 to \$50,000	More than \$50,000
3M	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
AT&T	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Bank of Oconomowoc	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Chevron	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Corning Inc	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dupont	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exxon Mobil Corporation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Electric Co.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IBM	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Target	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Verizon	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

BONDS	(check one)	\$5,000 to \$50,000	More than \$50,000
<i>Racine Wis Elderly Hsg. Auth Rev.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

LIMITED PARTNERSHIPS	(check one)	\$5,000 to \$50,000	More than \$50,000
	<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"/>

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
Kranz Inc.	Racine	Racine	WI	Wholesale Distribution
S & R Real Estate, LLC	Racine	Racine	WI	Owens warehouse & office
Stephens Sisters, LLC	Milwaukee	Milwaukee	WI	Owens lake cabin

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, list businesses, organizations, and lobbyists that paid the enterprise \$1,000 or more in calendar year 2009.

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	"✓"
Kranz, Inc. w/tenant of S-R Real Estate LLC			<input checked="" 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
Stephens Sisters, LLC	Carol Stephens <i>Barbouletos</i>	Milwaukee	WI
Stephens Sisters, LLC	Cathy Stephens <i>Barbouletos</i>	Milwaukee	WI
Stephens Sisters, LLC	Sarah Stephens	Milwaukee	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)

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
William K. Walters	Milwaukee	WI	Advisory 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
Barclays Midwest Exp. Airline Credit Card	Wilmington	DE	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Chase United Mileage Plus Credit Card	Columbus	OH	<input checked="" type="checkbox"/>	<input type="checkbox"/>
SBA 504 Loan Guarantee	Racine	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 2009****9. EMPLOYERS** List your and your family's EMPLOYERS (\$1,000 or more of income) in 2009.

Name of employer (if State of Wisconsin, also identify agency or institution)	City	State	Nature of employer's business
Kramm, Inc <i>Kranz, Inc.</i>	Racine	WI	Distributor
Wisconsin Court of Appeals	Waukesha	WI	Court of Appeals

10. ADDITIONAL SOURCES OF INCOME List other sources from which you or your family received income of \$1,000 or more in 2009.

Source of income	City	State
William K. Walters	Milwaukee	WI

11. ENTERTAINMENT AND GIFTS List individuals and organizations that provided you with entertainment or gifts (more than \$50) in 2009.

Name of provider	City	State
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12. HONORARIA AND EXPENSES List, for 2009, 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
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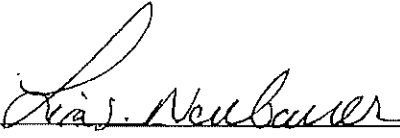
FILING NOTES -or- COMMENTS

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.

In Item 3, because of the number of items you submitted, we have not listed every item. Please continue to submit an updated listing on an annual basis.

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. If any part has been left blank, I have done so intentionally because there is nothing to report.

	Daytime phone #	(262) 497-5507
	Date	3/10/10
Signature of person filing	E-mail address	lisa.neubaucr@gmail.com

lisa.neubaucr@gmail.com

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 or fax to: Wisconsin Government Accountability Board, P.O. Box 7984, Madison, WI 53707-7984; Fax: (608) 264-9319
Eth 1 Personalized. For use in 2010

Affidavit

Statement of Economic Interests
Customers, Clients, and Tenants

My spouse on December 31, 2009, had or may have had an ownership interest of 10% or more in Kranz, Inc.. I do not have any knowledge relating to the identity of any of the customers, clients, or tenants of Kranz, Inc. and I do not have a right to an accounting of this information.

Because I know I must file this Statement of Economic Interests to the best of my knowledge, information, and belief, I have done the following to try to procure this information:
Check all that apply.

- I have asked my spouse for this information, and my spouse has refused to provide it.
- I have asked my spouse for this information, my spouse has requested this information from _____, and _____ has refused to provide it.
- I have requested this information from _____, and _____ has refused to provide it.
- Although I have no actual knowledge, I believe the customers, clients, and tenants of _____ include the following organizations and lobbyists: _____

The information I have listed on my Statement of Economic Interests and above is complete and correct to the best of my knowledge, information, and belief.

Lisa S. Neubauer
(signature)

3/17/10
(date)

Lisa S. Neubauer
(print name as signed above)

State of Wisconsin
County of Waukesha

Subscribed and sworn to before me this
day of March 17, 2010.

Clare T. Ryan
(signature of notary public)

My commission expires is permanent.

COURT OF APPEALS
OF WISCONSIN
DISTRICT II
2727 N. GRANDVIEW BLVD.
WAUKESHA, WISCONSIN 53188-1672

Telephone: (262) 521-5230
Fax: (262) 521-5419

TO: WI Government Accountability Board
(608-264-9319)

FROM: Judge Lisa S. Neubauer

DATE: 3/17/10

RE: Statement of Economic Interests

PAGES (Including this coversheet) 7

COMMENTS: *This is the second set as the State and County were omitted in the notary section in the first set that was faxed.*

Thank you.
Any questions, please contact me at 262-521-5230.

Brynne Hedtke
Judicial Assistant

