

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 04/24/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 12W United States Courthouse 300 South Fourth Street Minneapolis, MN 55415		
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. Committee Member	NCBE, Multistate Bar Drafting Committee
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. 2002	Minnesota State Judge Defined Benefit Retirement Plan
2.	
3.	

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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. 2018	National Conference of Bar Examiners	\$7,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
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. George Mason University Foundation, Inc.	Jan. 25-28, 2018	Key Largo, FL	Law and Economics Case Analysis Seminar for Federal Judges	Transportation, lodging, and meals
2. National Conference of Bar Examiners	Mar. 15-18, 2018	Charleston, SC	Prepare bar examination questions	Transportation, lodging, and meals
3. Kaufman Securities Law	Apr. 6-9, 2018	New York, NY	Moot Court Judge	Transportation, lodging, and meals
4. American Association for Justice	July 10, 2018	Denver, CO	Meeting	Transportation and meals
5. National Conference of Bar Examiners	Sept. 6-8, 2018	Minneapolis, MN	Prepare bar examination questions	Transportation, lodging, and meals

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6.	Lawyers for Civil Justice	Sept. 14, 2018	Washington, DC	Meeting	Transportation, lodging, and meals
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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.			
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.			

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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. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)		None	K	T					
2. Trust #1 (H)									
3. Charles Schwab Cash (cash account) (Y)									
4. Accenture PLC Class A (ACN)	A	Dividend	K	T	Sold (part)	01/23/18	J		
5. Becton Dickinson & Co (BDX)		None			Buy	01/02/18	J		
6.					Sold	01/09/18	J		
7. Check PT Software (CHKP)		None	J	T	Buy (add'l)	06/05/18	J		
8. Church & Dwight Co (CHD)	A	Dividend	K	T	Buy	04/24/18	K		
9.					Sold (part)	10/24/18	J		
10.					Sold (part)	11/02/18	J		
11. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Sold (part)	03/06/18	J		
12.					Buy (add'l)	11/08/18	J		
13. CR Bard Incorporate (BCR)		None			Sold	01/02/18	K		
14. CVS Health Corp (CVS)	A	Dividend	K	T	Buy (add'l)	03/23/18	J		
15. Danaher Corp (DHR)	A	Dividend	K	T					
16. Ecolab Inc (ECL)	A	Dividend	K	T					
17. Expeditors Intl Wash (EXPD)	A	Dividend	K	T	Sold (part)	05/17/18	J		

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	

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☐ 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. Fastenal Co (FAST)	A	Dividend	K	T	Sold (part)	08/03/18	J		
19. Fedex Corporation (FDX)	A	Dividend	K	T	Sold (part)	01/23/18	J		
20.					Buy (add'l)	08/03/18	J		
21.					Buy (add'l)	10/29/18	J		
22.					Buy (add'l)	12/11/18	J		
23.					Buy (add'l)	12/21/18	J		
24. Franklin Resources (BEN)	B	Dividend	J	T	Buy (add'l)	04/16/18	J		
25. Illinois Tool Works (ITW)	A	Dividend	K	T	Buy (add'l)	08/02/18	J		
26. Johnson & Johnson (JNJ)	A	Dividend	K	T	Sold (part)	06/15/18	J		
27. Johnson Ctls Intl (JCI)	A	Dividend			Sold	04/23/18	J		
28. Medtronic PLC (MDT)	A	Dividend	K	T					
29. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	06/12/18	J		
30. Novartis AG ADR (NVS)	A	Dividend			Buy (add'l)	06/05/18	J		
31.					Sold	07/11/18	K		
32. Proctor & Gamble (PG)	A	Dividend	K	T	Buy (add'l)	02/09/18	J		
33. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	06/05/18	J		
34.					Sold (part)	09/18/18	J		

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
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35.					Buy (add'l)	11/12/18	J		
36. Sherwin Williams Co (SHW)	A	Dividend	K	T					
37. Snap On Inc (SNA)	A	Dividend	K	T	Buy	01/10/18	K		
38.					Buy (add'l)	12/21/18	J		
39. Stryker Corp (SYK)	A	Dividend	K	T					
40. Thermo Fisher Scientific (TMO)	A	Dividend	K	T	Sold (part)	01/29/18	J		
41.					Sold (part)	08/03/18	J		
42. Visa Inc Class A (V)	A	Dividend	K	T	Sold (part)	05/18/18	J		
43. Wal-mart Stores Inc (WMT)	A	Dividend	K	T	Buy (add'l)	05/21/18	J		
44.					Sold (part)	11/14/18	J		
45. Walgreens Boots Alliance (WBA)	A	Dividend	K	T	Buy	07/12/18	K		
46.					Sold (part)	11/28/18	J		
47. Walt Disney Co (DIS)	A	Dividend	K	T					
48. IRA #1 (H)									
49. Charles Schwab Cash (cash account) (Y)									
50. Accenture PLC Class A (ACN)	A	Dividend	K	T					
51. Becton Dickinson & Co (BDX)		None			Buy	01/02/18	J		

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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Sold	01/09/18	J		
53. Check PT Software (CHKP)		None	K	T	Buy (add'l)	06/05/18	J		
54. Church & Dwight Co (CHD)	A	Dividend	K	T	Buy	04/24/18	K		
55.					Sold (part)	08/31/18	J		
56.					Sold (part)	11/02/18	J		
57. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Sold (part)	02/28/18	J		
58.					Sold (part)	03/06/18	J		
59.					Buy (add'l)	10/30/18	J		
60. CR Bard Incorporate (BCR)		None			Sold	01/02/18	K		
61. CVS Health Corp (CVS)	A	Dividend	K	T	Buy (add'l)	02/28/18	J		
62. Danaher Corp (DHR)	A	Dividend	K	T					
63. Ecolab Inc (ECL)	A	Dividend	K	T					
64. Expeditors Intl Wash (EXPD)	A	Dividend	K	T	Sold (part)	05/17/18	J		
65. Fastenal Co (FAST)	A	Dividend	K	T					
66. Fedex Corporation (FDX)	A	Dividend	K	T	Sold (part)	01/23/18	J		
67.					Buy (add'l)	08/03/18	J		
68.					Buy (add'l)	10/29/18	J		

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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	

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69.					Buy (add'l)	12/11/18	J		
70. Franklin Resources (BEN)	B	Dividend	K	T	Buy (add'l)	02/09/18	J		
71.					Buy (add'l)	04/16/18	J		
72.					Buy (add'l)	08/03/18	J		
73. Illinois Tool Works (ITW)	A	Dividend	K	T	Buy (add'l)	10/30/18	J		
74. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	06/15/18	J		
75.					Sold (part)	10/29/18	J		
76. Johnson Ctls Intl (JCI)	A	Dividend			Buy (add'l)	01/12/18	J		
77.					Sold	04/23/18	K		
78. Medtronic PLC (MDT)	A	Dividend	K	T	Sold (part)	02/28/18	J		
79.					Buy (add'l)	03/01/18	J		
80. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	01/23/18	J		
81.					Sold (part)	06/12/18	J		
82. Novartis AG ADR (NVS)	A	Dividend			Buy (add'l)	06/05/18	J		
83.					Sold	07/11/18	K		
84. Proctor & Gamble (PG)	A	Dividend	K	T	Buy (add'l)	02/09/18	J		
85. Qualcomm Inc (QCOM)	A	Dividend	K	T	Sold (part)	09/18/18	J		

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86.					Buy (add'l)	11/12/18	J		
87. Sherwin Williams Co (SHW)	A	Dividend	K	T	Sold (part)	08/03/18	J		
88.					Buy (add'l)	10/30/18	J		
89. Snap On Inc (SNA)	A	Dividend	K	T	Buy	01/10/18	K		
90.					Buy (add'l)	12/21/18	J		
91. Stryker Corp (SYK)	A	Dividend	K	T	Sold (part)	01/29/18	J		
92. Thermo Fisher Scntfe (TMO)	A	Dividend	K	T	Sold (part)	08/03/18	J		
93. Visa Inc Class A (V)	A	Dividend	K	T	Sold (part)	01/23/18	J		
94.					Sold (part)	09/17/18	J		
95. Wal-mart Stores Inc (WMT)	A	Dividend	K	T	Sold (part)	01/29/18	J		
96.					Buy (add'l)	05/21/18	J		
97.					Sold (part)	10/29/18	J		
98. Walgreens Boots Alliance (WBA)	A	Dividend	K	T	Buy	07/12/18	K		
99. Walt Disney Co (DIS)	A	Dividend	K	T					
100. IRA #2 (H)									
101. Charles Schwab Cash (cash account) (Y)									
102. Accenture PLC Class A (ACN)	A	Dividend	J	T					

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$250,001 - \$500,000	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 \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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103. Becton Dickinson & Co (BDX)		None			Buy	01/02/18	J		
104.					Sold	01/09/18	J		
105. Check PT Software (CHKP)		None	J	T					
106. Church & Dwight Co (CHD)	A	Dividend	J	T	Buy	04/24/18	J		
107.					Sold (part)	10/24/18	J		
108. Cognizant Tech Solu Class A (CTSH)	A	Dividend	J	T	Sold (part)	02/28/18	J		
109. CR Bard Incorporate (BCR)		None			Sold	01/02/18	J		
110. CVS Health Corp (CVS)	A	Dividend	J	T	Buy (add'l)	02/28/18	J		
111. Danaher Corp (DHR)	A	Dividend	J	T					
112. Ecolab Inc (ECL)	A	Dividend	J	T					
113. Expeditors Intl Wash (EXPD)	A	Dividend	J	T	Sold (part)	05/17/18	J		
114. Fastenal Co (FAST)	A	Dividend	J	T					
115. Fedex Corporation (FDX)	A	Dividend	J	T	Sold (part)	01/23/18	J		
116.					Buy (add'l)	10/29/18	J		
117. Franklin Resources (BEN)	A	Dividend	J	T	Buy (add'l)	08/03/18	J		
118. Illinois Tool Works (ITW)	A	Dividend	J	T					
119. Johnson & Johnson (JNJ)	A	Dividend	J	T	Buy (add'l)	06/15/18	J		

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 \$5,000,000	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	

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Name of Person Reporting

Ericksen, Joan N.

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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)
120. Johnson Ctls Intl (JCI)	A	Dividend			Buy (add'l)	01/12/18	J		
121.					Sold	04/23/18	J		
122. Medtronic PLC (MDT)	A	Dividend	J	T	Sold (part)	02/28/18	J		
123.					Buy (add'l)	02/28/18	J		
124. Microsoft Corp (MSFT)	A	Dividend	J	T	Sold (part)	01/23/18	J		
125. Novartis AG ADR (NVS)	A	Dividend			Buy (add'l)	06/19/18	J		
126.					Sold	07/11/18	J		
127. Proctor & Gamble (PG)	A	Dividend	J	T	Buy (add'l)	02/09/18	J		
128. Qualcomm Inc (QCOM)	A	Dividend	J	T					
129. Sherwin Williams Co (SHW)	A	Dividend	J	T	Sold (part)	08/03/18	J		
130. Snap On Inc (SNA)	A	Dividend	J	T	Buy	01/10/18	J		
131. Stryker Corp (SYK)	A	Dividend	J	T					
132. Thermo Fisher Scntfc (TMO)	A	Dividend	J	T					
133. Visa Inc Class A (V)	A	Dividend	J	T	Sold (part)	01/23/18	J		
134. Wal-mart Stores Inc (WMT)	A	Dividend	J	T					
135. Walgreens Boots Alliance (WBA)	A	Dividend	J	T	Buy	07/12/18	J		
136. Walt Disney Co (DIS)	A	Dividend	J	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	

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Name of Person Reporting	Date of Report
Eriksen, Joan N.	04/24/2019

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Name of Person Reporting

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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/ Joan N. Ericksen**

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