

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Ridgway, Michael E.	2. Court or Organization United States Bankruptcy Court	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Bankruptcy Court United States Courthouse 300 South Fourth Street, Suite 7W 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. _____
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. _____
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. 2017	University of St. Thomas Law School, Adjunct Professor, Bankruptcy	\$3,000.00
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.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
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. Northwestern Mutual Life Ins. - Adjustable Comp. Life	A	Dividend	K	T					
2. Northwestern Mutual Life Ins. - Extraordinary Life	A	Dividend	K	T					
3. Northwestern Mutual IRA (H)									
4. -- Select Bond (Mason Street Advisors)	A	Distribution	J	T					
5. -- Equity Income (Mason Street Advisors/T Rowe Price) (X)	A	Distribution	J	T					
6. -- Focused Appreciation (Mason Street Advisors/Loomis Sayles) (X)	A	Distribution	J	T					
7. Wells Fargo Bank, N.A. - Checking Account		None	J	T					
8. Brokerage # 1 (Merrill Lynch) (H)									
9. -- FIA Card Services, N.A. (Bank of America)	A	Interest	J	T					
10. -- Keeley Small Cap Value Fund CL A (KSCVX) (Y)									
11. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	J	T					
12. -- Putnam Investors FD CL Y (PNVYX)	A	Dividend	J	T	Sold (part)	08/10/17	J	B	
13. -- Thornburg LTD Term Inc. FD CL 1 (THIX)	A	Dividend	J	T					
14. -- Neuberger Berman Equity, Inc. Fund (NBHIX)	A	Dividend	J	T					
15. -- Hennessy Focus Fund (HFCIX)	A	Distribution	J	T	Sold (part)	08/10/17	J	A	
16. -- First Eagle Global Fund, Class I (SGHIX)	A	Dividend	J	T	Sold (part)	08/10/17	J	A	
17. -- Goldman Sachs Rising (GSRLX)	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	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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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. -- Invesco European Small (ESMYX)	A	Dividend	J	T					
19. Brokerage # 2 (IRA) (Merrill Lynch) (H)									
20. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	J	T					
21. -- FidelityADV DIV INTL 1 (FDVIX)	A	Dividend	K	T					
22. -- John Hancock Classic Value Fund CL 1 (JCVIX) (Y)									
23. -- Principal Preferred Securites Fund CL P (PPSPX)	B	Dividend			Merged (with line 24)	06/27/17	K	A	
24. -- Principal Preferred Securities Fund (PPSIX) (X)	B	Dividend	K	T	Sold (part)	08/10/17	J	A	
25. -- Principal Global Diversified, Inc. Fund (PGDPX)	B	Dividend			Merged (with line 26)	06/27/17	K	A	
26. -- Principal Global Diversified Income Fund (PGDIX) (X)	B	Dividend	K	T					
27. -- RS Global Natural Resources Fund CL Y (RSNYX) (Y)									
28. --SunAmerica Senior Floating Rate Fund CL A (SASFX) (Y)									
29. --Thornburg LTD Term Inc. FD CL 1 (THIIX)	A	Dividend	K	T					
30. -- Eaton Vance Atlanta Capital - SMID (EISMX)	B	Distribution	K	T	Redeemed (part)	08/10/17	J	B	
31. -- Nuveen Preferred Securities (NPSRX)	B	Dividend	K	T					
32. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	K	T					
33. -- Oppenheimer Rising Dividends (OYRDX) (Y)									
34. -- Scout Mid Cap Fund CL Retail (UMBMX) (Y)									

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	
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35. -- Putnam Equity Spectrum Fund CL Y (PYSYX)			K	T					
36. -- Goldman Sachs Strategic Income Fund CL 1 (GSZIX) (Y)									
37. -- Cohen & Steers Real Estate Securities FDI (CSDIX)	A	Dividend	K	T					
38. -- Goldman Sachs Rising (GSRLX)	A	Dividend	J	T					
39. -- Invesco European Small (ESMYX)	A	Dividend	J	T					
40. -- SPDR US Financial Sector ETF (XLF)	A	Dividend	K	T					
41. -- Sector SPDR Industrial (XLI)	A	Dividend	K	T					
42. -- Materials Select Sector SPDR Fund (XLB)	A	Dividend	K	T					
43. -- Select Sector SPDR TR (XLK)	A	Dividend	K	T					
44. -- Sector SPDR Energy (XLE) (X)	A	Dividend	J	T	Buy	02/16/17	J		
45. Brokerage # 3 (ROTH IRA) (Merrill Lynch) (H)									
46. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	J	T					
47. -- Putnam FD for Growth & Income FD CL Y (PGIYX)	A	Dividend			Merged (with line 48)	05/16/17	J	A	
48. -- Putnam Equity Income Y (PEIYX) (X)	A	Dividend	J	T	Sold (part)	08/24/17	J	B	
49. -- Putnam Multi Cap. Growth Fund CL Y (PNOYX)	A	Dividend	J	T	Sold (part)	08/24/17	J	A	
50. --Delaware Value Fund INSTL CL (DDVIX)	A	Dividend	J	T					
51. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	J	T					

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52. -- Carillon Scout Mid Cap Fund CL Retail (UMBMX)	A	Dividend	J	T					
53. -- Neuberger Berman Emerg Markets Equity Fund Inst (NEMIX) (X)	A	Dividend	J	T	Buy	08/25/17	J		
54. -- T Rowe Price QM US Small Cap Growth Equity FD (PRDSX) (X)			J	T	Buy	08/25/17	J		

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

Part VII. Lines 5 & 6: these assets are part of the Northwestern IRA, but each asset individually did not reach the reporting threshold in 2016.

Part VII. Lines 10, 22, 27, 28, 33, 34, & 36: these assets were all sold in 2016.

Part VII. Lines 23 & 24 merged in 2017; the merged fund is now listed as "PPSIX."

Part VII. Lines 25 & 26 merged in 2017; the merged fund is now listed as "PGDIX."

Part VII. Lines 47 & 48 were merged in 2017; the merged fund is now listed as "PEIYX."

Part VII. Lines 44, 53, & 54 are all assets that were first acquired in 2017.

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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/ **Michael E. Ridgway**

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
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Washington, D.C. 20544