

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Leung, Tony N.	2. Court or Organization District Court - Minnesota	3. Date of Report 08/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 342 U.S. Courthouse 316 N. Robert Street St. Paul, MN 55101		
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. Board Directors and Vice President	Twin Cities RISE!
2. Advisory Board Member	Wishes & More
3. Chairperson	Yale Alumni Schools Committee of Minneapolis
4. Advisory Board Member	Northern Star Council, BSA
5. Associate Board Directors	Lakewood Cemetery Association
6. Co-Vice President of Subcommittee	Minnesota Chapter of Federal Bar Association
7. Fellow	American Bar Foundation
8. Advisory Board Member	Minnesota National Asian Pacific American Bar Association

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. 2013	Minnesota State Judges Retirement Plan (NO CONTROL, pension plan), managed by Minnesota State Retirement System ("MSRS")
2. 2013	Minnesota Deferred Compensation Plan TNLwith Minnesota State Retirement System
3. 2013	Health Care Savings Plan with Minnesota State Retirement System

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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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. 2013

Special School District No. 1, Minneapolis, MN, salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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.)

<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. Brokerage Account CS1									
2. -WR UNACX Adv Accumulative A	A	Dividend	K	T					
3. -WR UNCGX Adv Intl Growth	A	Dividend	K	T					
4. -WR UNVGX Adv Vanguard A	A	Dividend	L	T	Sold (part)	10/07/13	J	C	
5. -Cash and Schwab Money Market	A	Interest	J	T					
6. Brokerage Account CS2									
7. -Schwab Inflation SWRSX	A	Dividend	J	T					
8. -Cash and Schwab Money Market	A	Interest	J	T					
9. Brokerage Account CS3									
10. -Schwab Inflation SWRSX	A	Dividend	J	T					
11. -Cash & Schwab Money Market	A	Interest	J	T					
12. Brokerage Account F1 Ind									
13. -Fidelity cash account	A	Interest	J	T					
14. -Fidelity Equity Income FBQIX	B	Dividend	L	T	Sold (part)	10/07/13	J	B	
15. -Fidelity MN Muni Income FIMIX	A	Interest	K	T					
16. Brokerage Account F2 RI15									
17. -Fidelity cash account	A	Interest	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 \$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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18. -Fidelity Blue Chip Growth FBGRX	A	Dividend	J	T					
19. -Spartan 500 Index FD Investor Class FUSVX	A	Dividend	J	T					
20. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
21. Brokerage Account F3 R77									
22. -Fidelity cash account	A	Interest	J	T					
23. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
24. Brokerage Account [REDACTED]									
25. -Fidelity cash account	A	Interest	J	T					
26. -Fidelity Select Tech FSPTX	A	Dividend	J	T					
27. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
28. Brokerage Account [REDACTED]									
29. -Fidelity cash account	A	Interest	J	T					
30. -Fidelity Equity Inc FEQIX	A	Dividend	J	T					
31. -Fidelity Equity Inc FEQIX	A	Distribution	J	T					
32. Brokerage Account [REDACTED]									
33. -Fidelity cash account	A	Interest	J	T					
34. -Spartan 500 Index FD Investor Class FUSEX	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 = \$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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35. -Fidelity Magellan FMAGX	A	Dividend	J	T					
36. Brokerage Account [REDACTED]									
37. -WR Advisor Vanguard A	A	Dividend	J	T					
38. -WR Advisor Vanguard A	A	Distribution	J	T					
39. Wells Fargo Bank Account 1 28	A	Interest	J	T					
40. Wells Fargo Bank Account 2 85	A	Interest	J	T					
41. MN State Judges Retirement Plan (NO CONTROL, pension plan)		None	M	T					
42. MN State Deferred Comp Plan TNL with MSRS									
43. -Dodge & Cox Income	A	Int./Div.	K	T					
44. -Vanguard Balanced Index Inst	A	Dividend	K	T					
45. -Janus Twenty	A	Dividend	K	T					
46. -Vanguard Inst Index Plus	A	Dividend	L	T					
47. -Vanguard Mid Cap Index Inst	A	Dividend	K	T					
48. -T Rowe Price Small Cap Stock	A	Dividend	K	T					
49. -Fidelity Diversified Intl	A	Dividend	K	T					
50. MN State Health Care Savings Plan with MSRS									
51. -Bond Market Account	A	Int./Div.	J	T					

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52. -Income Share Account	A	Int./Div.	J	T					
53. -Common Stock Account	A	Dividend	J	T					
54. -Growth Share Account	A	Dividend	J	T					
55. -International Share Account	A	Dividend	J	T					
56. MN Teachers Retirement Assoc (NO CONTROL, pension plan)		None	L	T					
57. Mpls Teachers Deferred Comp VALIC									
58. -Davis NY Venture A	A	Dividend	K	T					
59. -Dreyfus Basic S&P 500 St	A	Dividend	K	T					
60. -Dreyfus MidCap Index	A	Dividend	K	T					
61. -Dreyfus Small Cap Stk Indx	A	Dividend	K	T					
62. -American Funds EuroPac R4	A	Dividend	K	T					
63. -Black Rock Intl Idx Fund	A	Dividend	K	T					
64. Special School Dist Plan with Great Western Retirement Ser									
65. -Great-West Ariel Small Cap Value Fund	A	Dividend	J	T					
66. -Great-West Small Cap Growth Fund I	A	Dividend	J	T					
67. -Alger Mid Cap Growth Portfolio I-2	A	Dividend	J	T					
68. -Great-West Ariel Midcap Value Fund I	A	Dividend	J	T					

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69. -Great-West T Rowe Price MidCap Growth Fund I	A	Dividend	J	T					
70. -Fidelity VIP Growth Portfolio	A	Dividend	J	T					
71. MN State Deferred Comp Plan KRT with MSRS									
72. -T Rowe Price Small Cap Stock	A	Dividend	J	T					
73. -Vanguard Total Intl Stock Index	A	Dividend	J	T					
74. -Vanguard Intl Index Plus	A	Dividend	J	T					
75. -Vanguard Balanced Index Inst	A	Dividend	J	T					
76. -Chengteh Chinaware (Thailand) Co (X)		None	J	U					
77. Zurich Medical Corp, note convertible to common stock, receivable (X)		None	L	T	Buy	12/15/13	L		
78. Summit Brewing Company (X)	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Summit Brewing Company, Part VII, Line 78, was inadvertently omitted from my prior reports.

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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 was 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. 5 501 et. seq. 5 U.S.C. § 7351 and Judicial Conference regulations.

Signature: S/ Tony N. Leung

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. 5 104).

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 7-300
One Columbus Circle, N.E.
Washington, D.C. 20544