

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 04/13/2016
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 01/01/2015 to 12/31/2015
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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Past President	Federal Bar Association, Minnesota Chapter
2.	Committee Member	NCBE, Multistate Bar Drafting Committee
3.	President	Jimmie V. Reyna Intellectual Property Inn of Court
4.		
5.		

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.	2002	Minnesota State Judge Retirement Plan - Former Employer - No Control
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. May 2015	NCBE	\$3,500.00
2. Nov 2015	NCBE	\$3,500.00
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS 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. Ameriprise Money Market (AIMMA)	A	Interest	K	T					
2. Columbia Acorn Intl Cl A (LAIA)	A	Int./Div.	K	T					
3. Columbia Floating Rate Cl A (RFRAX)	A	Int./Div.	J	T					
4. Columbia Floating Rate Cl A (RFRAX)					Sold	05/13/15	K	A	
5. Credit Suisse Commodity Return Strategy Cl A (CRSAX)	A	Int./Div.	K	T					
6. Eagle Small Cap Growth Cl A (HRSCX)	A	None	K	T					
7. Fidelity Advisor 529 2019 Cl C (FPLCX)	A	Int./Div.	J	T					
8. Fidelity Advisor 529 2019 Cl C (FPLCX)					Buy	09/14/15	J		
9. Fidelity Advisor 529 2019 Cl C (FPLCX)					Sold	11/17/15	J	A	
10. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)	A	None	J	T					
11. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)					Buy	9/14/15	K		
12. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)					Buy (add'l)	11/17/15	J		
13. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)					Buy (add'l)	11/17/15	J		
14. Fidelity Advisor 529 Money Market Cl C (FMMCX)	A	None	J	T					
15. Fidelity Advisor 529 Money Market Cl C (FMMCX)					Buy	9/14/15	J		
16. Fidelity Advisor 529 Money Market Cl C (FMMCX)					Sold	11/17/15	J	A	
17. Goldman Sachs Commodity Strategy Cl A (GSCAX)	A	Int./Div.	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 = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000
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 = \$50,001 - \$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 = \$250,001 - \$500,000
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 I (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. Goldman Sachs Commodity Strategy Cl A (GSCAX)					Buy	05/13/15	J		
19. Goldman Sachs Commodity Strategy Cl A (GSCAX)					Buy (add'l)	05/13/15	J		
20. Invesco Global Real Estate Cl A (AGREX)	A	Dividend	K	T					
21. Invesco Global Real Estate Cl A (AGREX)					Sold	05/13/15	J	B	
22. Merger Fund Investor Cl (MERFX)	C	Dividend	M	T					
23. Merger Fund Investor Cl (MERFX)					Buy	05/13/15	K		
24. Minnesota State Retirement System - Judges' Retirement Plan	A	Int./Div.	N	T					
25. Oppenheimer Developing Markets Cl A (ODMAX)	A	Int./Div.	K	T					
26. Oppenheimer Developing Markets Cl A (ODMAX)					Buy	05/13/15	J		
27. Oppenheimer Developing Markets Cl A (ODMAX)					Buy (add'l)	05/13/15	J		
28. Oppenheimer Developing Markets Cl A (ODMAX)					Buy (add'l)	09/02/15	J		
29. Oppenheimer Developing Markets Cl A (ODMAX)					Sold	11/16/15	J	A	
30. Oppenheimer Intl Bond Cl A (OIBAX)	A	Dividend	K	T					
31. Oppenheimer Steelpath MLP Select 40 Cl A	B	Dividend	K	T					
32. Pimco Foreign Bond Unhedged Cl A (PURAX)	A	Dividend	L	T					
33. Pimco Foreign Bond Unhedged Cl A (PURAX)					Buy	05/13/15	J		
34. Prudential Global Real Estate Cl A (PURAX)	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Schwab Intl Equity ETF (SCHF)	A	Dividend	K	T					
36. Undiscovered Managers Behavioral Value CI A (UBVAX)	A	Int./Div.	J	T					
37. Undiscovered Managers Behavioral Value CI A (UBVAX)					Sold	05/13/15	K	A	
38. Vanguard FTSE Developed Mkts ETF (VEA)	B	Int./Div.	K	T					
39. Vanguard FTSE Developed Mkts ETF (VEA)					Sold	05/13/15	J	A	
40. Vanguard FTSE Developed Mkts ETF (VEA)					Buy	09/02/15	J		
41. Vanguard FTSE Developed Mkts ETF (VEA)					Sold	11/16/15	J	A	
42. Vanguard Value ETF (VTI)	B	Int./Div.	L	T					
43. Vanguard Value ETF (VTI)					Buy	09/02/15	J		
44. Vanguard Value ETF (VTI)					Sold	11/16/15	J	B	
45. Wells Fargo Short Term High Yield Bond CI A (SSTHX)	C	Int./Div.	M	T					
46. Wells Fargo Short Term High Yield Bond CI A (SSTHX)					Buy	05/13/15	J		
47. Wells Fargo Short Term High Yield Bond CI A (SSTHX)					Sold	09/02/15	K	B	
48. Wells Fargo Short Term High Yield Bond CI A (SSTHX)					Buy	11/16/15	K		
49. Vanguard Mid Cap Value ETF (VOE)	A	Int./Div.	K	T					
50. Vanguard Mid Cap Growth ETF (VOT)	A	Int./Div.	J	T					
51. Vanguard Growth ETF (VUG)	B	Dividend	L	T					

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

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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
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Washington, D.C. 20544