

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Brisbois, Leo L.	2. Court or Organization District Court-Minnesota	3. Date of Report 06/12/2017
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 01/01/2016 to 12/31/2016
7. Chambers or Office Address 515 W. First St. Room 412 Duluth, MN 55802		
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. Executive Committee Member	National Conference of Federal Trial Judges, Judicial Division, American Bar Association
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.		
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. 2016	YMCA of Duluth; employee wages
2. 2016	Core Pilates by Sue, LLC; self-employed fitness instructor
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. American Bar Association	February, 2016	San Diego, CA	Attend NCFTJ Exec. Committee 2016 Mid-Year Mtg.	Partial lodging and travel
2. American Bar Association	August, 2016	San Francisco, CA	Attend NCFTJ Exec. Committee 2016 Annual Mtg.	Partial lodging and travel
3. Just the Beginning - A Pipeline Organization	September, 2016	New York, NY	Attend 2016 National Conference	Partial lodging and meals
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. Wells Fargo	A	Interest	K	T					
2. TruStone Financial	A	Interest	M	T					
3. US Analyst Strategy		None	K	T					
4. WT Mid Cap Opps	A	Int./Div.	K	T					
5. Vang Inst Index Plus	A	Int./Div.	K	T					
6. Main Stay Balanced Fund (Class 1)	C	Int./Div.	K	T					
7. Fid Freedom K2030	A	Int./Div.	M	T					
8. Fid Freedom K2035	A	Int./Div.	J	T					
9. The Growth Fund of America-A	A	Int./Div.	J	T					
10. The Investment Company of America-A	A	Int./Div.	J	T					
11. Capital World Growth and Income Fund-A	A	Int./Div.	J	T					
12. Invesco Charter Fund-B	A	Int./Div.	J	T					
13. Invesco Mid Cap Core Equity Fund-B	A	Int./Div.	J	T					
14. Invesco Charter Fund-A	A	Int./Div.	J	T					
15. Invesco American Franchise Fund-A		None	J	T					
16. Invesco American Franchise Fund-B	A	Int./Div.	J	T					
17. Invesco Global Growth Fund-A	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 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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	(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 Global Growth Fund-B	A	Int./Div.	J	T					
19. Invesco Mid Cap Core Equity Fund-A	A	Int./Div.	J	T					
20. Voya Retirement Conservative (A) - 1729	D	Int./Div.	M	T					
21. Schwab S&P 500 Index FD	A	Int./Div.	J	T					
22. Fundamental Investors SM(F-1) (American Funds)-7109	B	Int./Div.	K	T					
23. Voya Russell TM Large Cap Value Index Portfolio (S)-2711	B	Int./Div.	K	T					
24. Fidelity Advisor New Insights Fund (T)-2170	B	Int./Div.	K	T					
25. VY Baron Growth Portfolio - Advisor Class-442	A	Int./Div.	J	T					
26. VY JP Morgan Mid-Cap Value Portfolio (A)-441	B	Int./Div.	J	T					
27. Voya Russell TM Small Cap Index Portfolio (A)-1502	B	Int./Div.	J	T					
28. EuroPacific Growth Fund (F-1)(American Funds)-2035	A	Int./Div.	J	T					
29. VY Templeton Foreign Equity Portfolio (A)-1587	A	Int./Div.	J	T					
30. Voya Intermediate Bond Portfolio (A)-8479	A	Int./Div.	K	T					
31. Loomis Sayles Strategic Income Fund Class A-1938	B	Int./Div.	K	T					

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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/ **Leo I. Brisbois**

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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