

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) Sanberg, Katheen H.	2. Court or Organization U.S. Bankruptcy Court, District of minnesota	3. Date of Report 04/16/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief 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 8W 301 U.S. Courthouse 300 S. 4th St. Minneapolis, MN		
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.	Co-Trustee	Revocable Trust 1
2.	Co-Trustee	Revocable Trust 2
3.		
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.		
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	State of Minnesota statutory fixed retirement payments X	\$12,000.00
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. 2017	Imatteryouth.org 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. National Conference of Bankruptcy Judges	10/8/2017-10/11/2017	Las Vegas, Nevada	Reimbursement for Annual Conference	Transportation, meals, hotel, registration
2. National Conference of Bankruptcy Judges	03/15/2017-03/16/2017	Charleston, S.C.	Reimbursement for Mid Year Meeting	Transportation, meals, hotel,
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.	Wells Fargo Bank, N.A.	Guaranty/Contingent Liability for Business Debt - [REDACTED]	M
2.	Metro Community Development	Guaranty/Contingent Liability for Business Debt - [REDACTED]	L
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. First Eagle Overseas Fund SGOVX	A	Int./Div.	M	T					
2.					Sold (part)	02/23/17	L	A	
3.					Sold (part)	09/20/17	J	A	
4. Charles Schwab Ft Money Fund/Deposit Acct SWGXX	A	Interest	J	T					
5. Scwab Fundamental US Large Cp SFLNX	B	Int./Div.	L	T	Buy (add'l)	02/24/17	K		
6.					Sold (part)	09/20/17	K	D	
7. Salient MLP & Energy Infrs FD II INst SMLPX	A	Int./Div.			Sold	02/23/17	K	A	
8. IShares TR Russell 1000 ETF IWB	A	Int./Div.	K	T					
9. First Eagle Overseas Fune CLI SGOIX	A	Int./Div.	L	T	Sold (part)	02/23/17	K	A	
10. American FD WA Mut In FD CDL F WMFX	C	Int./Div.	L	T	Buy	01/09/17	J		
11.					Buy (add'l)	02/23/17	L		
12. F&B Building Partnership		None	J	U					
13. Champlain Small Cap CIP SX	A	Int./Div.	K	T	Sold (part)	02/23/17	K	D	
14.					Sold (part)	09/20/17	K	D	
15. Goldman Sachs BK CD Due 11/07/17	B	Int./Div.			Matured	11/07/17	K	A	
16. Goldman Sachs BK CD due 10/17/17	B	Int./Div.			Matured	10/17/17	K	A	
17. Diamond Hill Small DHSX	B	Int./Div.	K	T	Sold (part)	09/20/17	J	B	

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	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	F ~\$50,001 - \$100,000 (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	Q ~Appraisal (See Column C2)	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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Date of Report

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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 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 Bonds	C	Int./Div.			Matured	10/17/17	L	B	
19. Goldman Sachs Bonds	C	Int./Div.			Matured	11/17/17	K	C	
20. American Fds Growth GFAFX	B	Int./Div.	L	T	Buy (add'l)	02/23/17	L		
21.					Buy (add'l)	09/20/17	J		
22. Russell Global Equitiebfd RGEEX	A	Int./Div.			Sold	02/23/17	L	A	
23. Russell Global Real Est. RRESX	A	Int./Div.			Sold	09/21/17	J	A	
24. Russell Global Infrastructure S RGISX	A	Int./Div.			Sold	02/24/17	J	A	
25. Selected American Sharesclass S SLASX	A	Int./Div.			Sold	09/21/17	J	A	
26. Russell Er. Mkts. REMSX	A	Int./Div.	J	T	Buy (add'l)	01/06/17	J		
27.					Sold (part)	02/23/17	K	A	
28.					Buy (add'l)	09/20/17	J		
29. Selected American Shares CL D SIADX	A	Int./Div.			Sold	09/20/17	J	A	
30. Russell Global Opp Credit S RGCSX	A	Int./Div.	K	T	Buy (add'l)	02/24/17	L		
31.					Sold (part)	09/21/17	K	A	
32. Russell Strategic Bonds CLS RFCTX	C	Int./Div.	M	T	Buy (add'l)	09/21/17	L		
33. Minnesota St Bonds	B	Int./Div.	L	T					
34. Perman MN Bonds	B	Int./Div.	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 \$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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Sanberg, Kathleen H.

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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)

35. Discover Bank Bonds	C	Int./Div.			Matured	09/12/17	L	A	
36. ISHares MSCI ACWI	C	Int./Div.			Sold	02/23/17	L	A	
37. American Fund WA Mutual Inv. FD CL F1 WSHFX	A	Int./Div.	K	T	Buy	09/20/17	K		
38. Vanguard Short Term Investment Grade Admiral CL VFSUX	A	Int./Div.	N	T					
39. Vanguard Balanced Index Admiral CL VBIAX	A	Int./Div.	L	T					
40. Windrider International LLC Note X		None	M	T					
41. Franklin MN Ins Tax-Free Inc INCN FD CL A FITCZ X		None	K	T	Buy	02/23/17	K		
42. Vanguard Federal Money Market Fund (Settlement Fund) X	A	Int./Div.	M	T					
43. American FFD Europacific FWTH FD CL S AEPEFX	A	Int./Div.	K	T	Buy	09/21/17	K		
44. Cohen & Steers Realty Shares CSRSX	C	Int./Div.	K	T	Buy	02/24/17	K		
45.					Buy (add'l)	09/21/17	J		
46. American Fd EuPa Gwth Fd CL F1 AEGFX	A	Int./Div.	K	T	Buy	02/24/17	K		
47. IShares Russell 2000 ETF IWM		None	K	T	Buy	09/22/17	K		
48. IShares MSCI EAFE ETF EFA		None	K	T	Buy	02/23/17	K		
49.					Buy (add'l)	09/20/17	J		
50. Vanguard 500 Index Admiral VFIAX X	A	Int./Div.	K	T	Buy	01/10/17	K		
51.									

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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52.									

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

As the Revocable Trusts #1 and #2 are included in the assets and transactions reported and there are no other beneficiaries, I have reported not reported them by name of account but individually. Other than the investments reported in VII, the other assets of the trusts are not reportable (home).

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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/ **Katheen H. Sanberg**

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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