

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) Keyes, Jeffrey J.	2. Court or Organization U.S. District Court; District of Minnesota	3. Date of Report 05/11/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge -- Full-time	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 U.S. District Court 316 North 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.)

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.)*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

University of Minnesota -- 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. US Bank Savings Account	A	Interest	J	T					
2. US Bank Savings Account	A	Interest	K	T					
3. US Bank Checking Account		None	J	T					
4. Signature Bank Money Market Account	A	Interest	M	T					
5. Signature Bank Checking Account	A	Interest	M	T					
6. IBM Corp Com	A	Dividend	J	U					
7. Jensen Quality Growth Fund Class	D	Dividend	M	U	Sold (part)	06/12/13	K	D	
8. SCHWAB ADV CASH RESERVE	A	Interest	L	T					
9. LOOMIS SAYLES BOND FUND	E	Dividend	N	U	Buy (add'l)	01/28/13	M		
10. LOOMIS SAYLES BOND FUND		None			Sold (part)	03/15/13	M	C	
11. PIMCO TOTAL RETURN FUND	C	Dividend	M	U	Buy (add'l)	07/16/13	J		
12. PIMCO TOTAL RETURN FUND		None			Sold (part)	06/12/13	K	A	
13. SCHWAB FUNDAMENTAL US SMALL MID	C	Dividend	L	U	Sold (part)	06/11/13	K	C	
14. WISDOMTREE EMERGING MKT	D	Dividend	M	U	Buy (add'l)	08/29/13	K		
15. WISDOMTREE EMERGING MKT		None			Sold (part)	11/11/13	J	A	
16. BAIRD MID CAP FUND INST	B	Dividend	L	U	Sold (part)	06/11/13	J	A	
17. ISHARES RUSSELL MIDCAP	A	Dividend	L	U	Sold (part)	06/11/13	K	C	

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 (See Columns C1 and D3)	F ~\$50,001 - \$100,000 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 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. ISHARES TR RUSSELL 1000	A	Dividend	K	U	Buy (add'l)	06/11/13	K		
19. ISHARES TR RUSSELL 1000		None			Sold (part)	06/11/13	L	D	
20. ISHARES TRUST S&P 500	B	Dividend	M	U	Buy (add'l)	06/11/13	J		
21. ISHARES TRUST S&P 500		None			Sold (part)	06/11/13	K	D	
22. BLACKROCK NATIONAL MUNI	B	Dividend	K	U	Sold (part)	06/12/13	K	A	
23. VANGUARD BOND INDEX FUND	A	Dividend			Sold	07/16/13	L	A	
24. NEUBERGER BERMAN CORE BOND FUND	B	Dividend	K	U					
25. JP MORGAN STRATEGIC INCOME	C	Dividend	M	U					
26. ARTIO TOTAL RETURN BOND FUND	B	Dividend			Buy (add'l)	01/09/13	J		
27. ARTIO TOTAL RETURN BOND FUND		None			Merged (with line 28)	05/21/13	M		
28. ABERDEEN TOTAL RETURN BOND FUND	C	Dividend	M	U					
29. ISHARES TR RUSSELL 2000	B	Dividend	M	U	Sold (part)	03/14/13	K	D	
30. ARTISAN INTL SMALL CAP	C	Dividend	L	U	Buy (add'l)	08/29/13	J		
31. ARTISAN INTL SMALL CAP		None			Sold (part)	03/14/13	K	D	
32. THIRD AVENUE SMALL CAP	D	Dividend	M	U	Sold (part)	01/09/13	K	C	
33. GOODHAVEN FUND	A	Dividend	L	U	Sold (part)	02/27/13	K	C	
34. T ROWE PRICE EUROPEAN FUND	A	Dividend	L	U	Buy (add'l)	08/29/13	K		

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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35. AQR DIVERSIFIED	D	Dividend	M	U	Buy (add'l)	02/26/13	L		
36. FIRST EAGLE OVERSCEAS FUND	D	Dividend	M	U	Buy (add'l)	08/29/13	J		
37. FIRST EAGLE OVERSCEAS FUND		None			Sold (part)	06/12/13	K	B	
38. IVA INTL FUND CK I	D	Dividend	M	U	Sold (part)	06/11/13	J	A	
39. OAKMARK SELECT FUND	D	Dividend	M	U	Sold (part)	02/26/13	L	C	
40. CENTURY SMALL CAP	D	Dividend	M	U	Sold (part)	06/11/13	L	D	
41. Condominium Residence -- FL -- 50% Ownership	E	Rent			Sold	12/31/13	O	A	

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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.)*

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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/ Jeffrey J. Keyes**

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