

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

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 05/08/2013
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 01/01/2012 to 12/31/2012
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. Board of Directors	Friends of the Children Foundation
2. President	Federal Bar Association, Minnesota chapter
3. Committee Member	NCBE, Multistate Bar Drafting Committee
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. May 2012	NCBE Committee	\$3,500.00
2. Nov 2012	NCBE Committee	\$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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. NCBE	05/03/12 - 05/06/12	Carmel, CA	Evidence Drafting Committee	Transportation, Meals, Lodging
2. NCBE	11/15/12 - 11/18/12	Tucson, AZ	Evidence Drafting Committee	Transportation, Meals, Lodging
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.)*

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. Minnesota State Retirement System - Judges' Retirement Plan	A	Int./Div.	N	T					
2. Fidelity Adv 529 Plan Portfolio 2019 C (no control)	A	Int./Div.	L	T					
3. Ameriprise Money Market	A	Interest	K	T					
4. Invesco Global Real Estate (AGREX)	A	Int./Div.	K	T					
5. Invesco Global Real Estate (AGREX)					Sold (part)	05/31/12	K	B	
6. Invesco Global Real Estate (AGREX)					Buy (add'l)	06/01/12	K		
7. Invesco Int'l Small Co (IEGAX)	A	Int./Div.	J	T					
8. Franklin MN Tax Free (FMINX)	B	Int./Div.	J	T					
9. Franklin MN Tax Free (FMINX)					Sold (part)	04/04/12	M	D	
10. Franklin HY Tax Free (FRHIX)	A	Int./Div.	J	T					
11. Franklin HY Tax Free (FRHIX)					Sold (part)	05/31/12	J	B	
12. iShares iBoxx Investment Grade Corp (LQD)	A	Int./Div.	J	T					
13. iShares iBoxx Investment Grade Corp (LQD)					Sold (part)	06/04/12	J	A	
14. Oppenheimer Int'l Bond (OIBAX)	B	Int./Div.	L	T	Sold (part)	05/31/12	K		
15. Oppenheimer Developing Markets (ODMAX)	A	Int./Div.	K	T	Sold (part)	04/04/12	J	C	
16. Oppenheimer Developing Markets (ODMAX)					Buy (add'l)	05/31/12	K		
17. Oppenheimer Developing Markets (ODMAX)					Sold (part)	08/02/12	J	B	

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 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$50,001 - \$100,000	L = \$100,001 - \$1,000,000 P = \$1,000,001 - \$5,000,000 Q = More than \$5,000,000	M = \$100,001 - \$250,000 R = \$250,001 - \$500,000 S = \$500,001 - \$1,000,000 T = More than \$1,000,000
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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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. Oppenheimer Developing Markets (ODMAX)					Sold (part)	09/20/12	J	C	
19. Pimco Real Return Strategy (PCRAX)	A	Int./Div.	K	T	Buy (add'l)	05/31/12	J		
20. Vanguard Growth (VUG)	A	Int./Div.	K	T					
21. Vanguard Value (VTV)	A	Int./Div.	K	T	Sold (part)	08/06/12	J	B	
22. Wells Fargo S/T High Yield Bond (SSTHX)	B	Int./Div.	L	T	Buy (add'l)	04/04/12	K		
23. Wells Fargo S/T High Yield Bond (SSTHX)					Sold (part)	05/31/12	J	A	
24. Vanguard Mid Growth (VOT)	A	Int./Div.	J	T					
25. Vanguard High Dividend Yield (VYM)	A	Int./Div.	K	T	Buy (add'l)	06/04/12	K		
26. Vanguard High Dividend Yield (VYM)					Sold (part)	09/20/12	J	B	
27. Vanguard High Dividend Yield (VYM)					Buy (add'l)	04/10/12	K		
28. Oppenheimer Rochester Muni (ORNAX)	A	Int./Div.	J	T	Sold	04/04/12	J	A	
29. Vanguard Mid Value (VOE)	A	Int./Div.	K	T	Sold (part)	04/09/12	J	C	
30. Columbia High Yield (INEAX)	B	Int./Div.	K	T					
31. Columbia High Yield (INEAX)					Sold (part)	05/31/12	K		
32. Columbia High Yield (INEAX)					Sold (part)	08/02/12	J	A	
33. Columbia Acorn Int'l (LAIAX)	A	Int./Div.	K	T	Buy (add'l)	05/31/12	J		
34. William Blair Sm Cap Value (WBVDX)	A	Int./Div.	J	T	Buy	05/31/12	J		

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35. Eagle Small Cap Growth (HRSCX)	A	Int./Div.	J	T	Buy	06/01/12	J		
36. UMB Scout Int'l (UMBWX)	A	Int./Div.	J	T	Sold	04/04/12	J		
37. Credit Suisse Commodity (CRSAX)	A	Int./Div.	J	T					
38. Putnam Int'l Capital Opp (PNVAX)	A	Int./Div.	J	T					
39. Oppenheimer Main St Sm Cap (OPMSX)	A	Int./Div.	J	T	Sold	04/04/12	J		
40.									

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

My husband's assets are not reportable: He has sole interest in and responsibility for his income, assets and investments. His property is not in any way derived from or associated with any of my income, assets or activities. I do not, and do not expect to, derive any financial or economic benefit from my husband's financial interest or responsibility. A joint tax return with my husband and myself was NOT filed for 2012.

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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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