

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 04/30/2014
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 01/01/2013 to 12/31/2013
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.	President	Federal Bar Association, Minnesota Chapter
2.	Committee Member	NCBE, Multistate Bar Drafting Committee
3.	Board of Directors	Friends of the Children Foundation
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 2013	NCBE	\$3,500.00
2. Nov 2013	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.)*

<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	May 9-12, 2013	San Francisco, CA	Evidence Drafting Committee	Transportation, Meals, Lodging
2. NCBE	Nov 14-17, 2013	Pasadena, CA	Evidence Drafting Committee	Transportation, Meals, Lodging
3. FBA Chapter	Apr 26-27, 2013	Arlington, VA	Leadership Training Program	Transportation, Meals, Lodging
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. Minnesota State Retirement System - Judges' Retirement Plan	A	Int./Div.	N	T					
2. Fidelity Adv 529 Plan Portfolio 2019C (no control)	A	Int./Div.	L	T					
3. Ameriprise Money Market	A	Interest	K	T					
4. Columbia Acorn International (LAIA)	B	Int./Div.	J	T					
5. Columbia Acorn International (LAIA)		None			Buy	10/15/13	J		
6. Columbia High Yield Bond (INEAX)	A	Int./Div.	J	T					
7. Columbia High Yield Bond (INEAX)		None			Sold	04/10/13	K	A	
8. Columbia Floating Rate Bond Fund (RFRAX)	A	Int./Div.	K	T					
9. Columbia Floating Rate Bond Fund (RFRAX)					Buy	04/23/13	K		
10. Columbia Floating Rate Bond Fund (RFRAX)					Buy (add'l)	10/15/13	K		
11. Franklin Minnesota Tax Free Income (FMINX)	A	Int./Div.	J	T					
12. Franklin Minnesota Tax Free Income (FMINX)					Sold	04/19/13	J	A	
13. Franklin High Yield Tax-Free Income (FRHIX)	A	Int./Div.	J	T					
14. Franklin High Yield Tax-Free Income (FRHIX)					Sold	04/19/13	J	A	
15. iShares iBoxx Investment Grade Corp. Bond ETF (LQD)	A	Int./Div.	J	T					
16. iShares iBoxx Investment Grade Corp. Bond ETF (LQD)					Sold	04/19/13	J	A	
17. Merger Fund (MERFX)	B	Dividend	L	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 = \$250,000.01 - \$500,000.00	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 \$5,000,000	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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☐ 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. Merger Fund (MERFX)					Buy	04/22/13	L		
19. Merger Fund (MERFX)					Buy (add'l)	04/23/13	K		
20. Merger Fund (MERFX)					Buy (add'l)	10/15/13	J		
21. Oppenheimer International Bond A (OIBAX)	B	Int./Div.	L	T					
22. Oppenheimer International Bond A (OIBAX)					Buy	04/19/13	K		
23. Oppenheimer Developing Markets A (ODMAX)	A	Int./Div.	K	T					
24. PIMCO Commodity Real Return Strategy Fund (PCRAX)	A	Int./Div.	J	T					
25. PIMCO Commodity Real Return Strategy Fund (PCRAX)					Sold	04/19/13	K	A	
26. Oppenheimer SteelPath MLP Select 40 (MLPFX)	A	Dividend	K	T					
27. Oppenheimer SteelPath MLP Select 40 (MLPFX)					Buy	10/15/13	K		
28. Vanguard High Dividend Yield ETF(VYM)	A	Int./Div.	J	T					
29. Vanguard High Dividend Yield ETF(VYM)					Sold	10/15/13	J	D	
30. Vanguard Mid-Cap Value ETF (VOE)	A	Int./Div.	K	T					
31. Vanguard Mid-Cap Value ETF (VOE)					Sold (part)	04/23/13	J	C	
32. Vanguard Mid-Cap Growth ETF (VOT)	A	Int./Div.	K	T					
33. Vanguard Mid-Cap Growth ETF (VOT)					Sold	04/23/13	J	C	
34. Vanguard Value ETF (VTV)	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	
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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 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. Vanguard Value ETF (VTV)					Sold	04/23/13	K	D	
36. Vanguard High Dividend Yield ETF (VYM)	A	Int./Div.	J	T					
37. Vanguard High Dividend Yield ETF (VYM)					Sold	10/15/13	K	D	
38. Wells Fargo Short Term High Yield (SSTHX)	A	Int./Div.	J	T					
39. Wells Fargo Short Term High Yield (SSTHX)					Sold (part)	06/18/13	J	A	
40. Invesco International Small Company (IEGAX)		None			Sold	04/19/13	J	A	
41. Eagle Small Cap Growth (HRSCX)		None			Sold	10/15/13	J	B	
42. William Blair Small Cap Value (WBVDX)		None			Sold	10/15/13	J	C	
43. Credit Suisse Commodity Return Strategy (CRSAX)		None	K	T	Buy	04/23/13	K		
44. Invesco Global Real Estate (AGREX)	A	Dividend	K	T					
45. Invesco Global Real Estate (AGREX)					Sold (part)	10/15/13	J	C	
46. Putnam International Capital Opportunity (PNVAX)	A	Dividend	J	T					
47. Vanguard Growth (VUG)	A	Dividend	J	T					
48.									
49.									
50.									
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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$250,000 G = \$250,001 - \$500,000
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 Q = \$100,001 - \$250,000	L = \$50,001 - \$100,000 P = \$100,001 - \$250,000 R = \$250,001 - \$500,000	M = \$100,001 - \$250,000 P = \$250,001 - \$500,000 S = \$500,001 - \$1,000,000	N = \$500,001 - \$1,000,000 Q = \$1,000,001 - \$5,000,000 R = \$5,000,001 - \$10,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

assets are not reportable: sole interest in and responsibility for income, assets and investments. 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 financial interest or responsibility. A tax return with and myself was NOT filed for 2013.

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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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