

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 08/10/2017
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 01/01/2016 to 12/31/2016
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.	Past President	Federal Bar Association, Minnesota Chapter
2.	Committee Member	NCBE, Multistate Bar Drafting Committee
3.	President	Jimmie V. Reyna Intellectual Property Inn of Court
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 Defined Benefit Retirement Plan
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2016	National Conference of Bar Examiners	\$7,000.00
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.)*

DATE	SOURCE AND TYPE
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. NCBE	May 20-23, 2016	Montreal, Quebec	Multistate Bar Drafting Committee Meeting	Transportation, hotel, and meals
2. Duke Law School	June 26-28, 2016	Washington, DC	MDL Panelist	Transportation, hotel, and meals
3. NCBE	October 26-28, 2016	Newport, RI	Multistate Bar Drafting Committee Meeting	Transportation, hotel, 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.)*

<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. Ameriprise Money Market (AIMMA)		None			Sold	05/31/16	K		
2. Credit Suisse Commodity Return Strategy CI A (CRSAX)		None			Sold	05/31/16	K		
3. Fidelity Advisor 529 Aggressive Growth CI C (FPCGX)		None	K	T	Sold (part)	08/29/16	J		
4. Schwab Intl Equity ETF (SCHF)	A	Dividend			Sold	05/31/16	K		
5. Trust #1 (H)									
6. Charles Schwab Cash (cash account)	A	Interest	J	T	Open	06/27/16	K		
7. Columbia Acorn Intl CI A (LAIAAX)		None			Sold	09/30/16	K		
8. Eagle Small Cap Growth CI A (HRSCX)		None			Sold	09/30/16	K		
9. Oppenheimer Developing Markets CI A (ODMAX)		None			Sold	09/30/16	K		
10. Oppenheimer Steelpath MLP Select 40 CI A	A	Dividend			Sold	09/30/16	K		
11. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend			Sold	09/30/16	K		
12. Vanguard Mid Cap Value ETF (VOE)	A	Dividend			Sold	09/30/16	K		
13. Vanguard Mid Cap Growth ETF (VOT)	A	Dividend			Sold	09/30/16	J		
14. Vanguard Growth ETF (VUG)	A	Dividend			Sold	09/30/16	K		
15. Vanguard Value ETF (VTV)	A	Dividend			Sold	09/30/16	L		
16. Accenture PLC Class A	A	Dividend	J	T	Buy	10/03/16	J		
17. Adient PLC		None			Buy	10/03/16	J		

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.					Sold	11/28/16	J		
19. Check PT Software		None	K	T	Buy	10/03/16	J		
20. Cognizant Tech Solu Class A		None	K	T	Buy	10/03/16	J		
21. CR Bard Incorporate	A	Dividend	J	T	Buy	10/03/16	J		
22. CVS Health Corp	A	Dividend	J	T	Buy	10/03/16	J		
23. Danaher Corp		None	J	T	Buy	10/03/16	J		
24. Ecolab Inc	A	Dividend	J	T	Buy	10/03/16	J		
25. Expeditors Intl Wash	A	Dividend	J	T	Buy	10/03/16	J		
26. Fastenal Co	A	Dividend	K	T	Buy	10/03/16	J		
27. Fedex Corporation	A	Dividend	J	T	Buy	10/03/16	J		
28. Franklin Resources		None	K	T	Buy	10/03/16	J		
29. Illinois Tool Works		None	J	T	Buy	10/03/16	J		
30. Johnson & Johnson	A	Dividend	J	T	Buy	10/03/16	J		
31. Johnson Ctls Intl		None	J	T	Buy	10/03/16	J		
32. Medtronic PLC	A	Dividend	J	T	Buy	10/03/16	J		
33. Microsoft Corp	A	Dividend	K	T	Buy	10/03/16	J		
34. Novartis AG ADR		None	J	T	Buy	10/03/16	J		

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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. Proctor & Gamble	A	Dividend	J	T	Buy	10/03/16	J		
36. Qualcomm Inc	A	Dividend	J	T	Buy	10/03/16	J		
37. Sherwin Williams Co	A	Dividend	J	T	Buy	10/03/16	J		
38. Stryker Corp		None	J	T	Buy	10/03/16	J		
39. Thermo Fisher Scientific	A	Dividend	J	T	Buy	10/03/16	J		
40. Visa Inc Class A	A	Dividend	J	T	Buy	10/03/16	J		
41. Wal-mart Stores Inc	A	Dividend	J	T	Buy	10/03/16	J		
42. WW Grainger Inc	A	Dividend	J	T	Buy	10/03/16	J		
43. IRA #1 (H)									
44. Charles Schwab Cash (cash account)	A	Interest	J	T	Open	05/25/16	K		
45. Goldman Sachs Commodity Strategy Cl A (GSCAX)	A	Dividend			Sold	09/30/16	J		
46. Merger Fund Investor Cl (MERFX)		None			Sold	09/30/16	M		
47. Oppenheimer Developing Markets Cl A (ODMAX)		None			Sold	09/30/16	J		
48. Oppenheimer Intl Bond Cl A (OIBAX)	A	Dividend			Sold	09/30/16	K		
49. Pimco Foreign Bond Unhedged Cl A (PURAX)	A	Dividend			Sold	09/30/16	L		
50. Prudential Global Real Estate Cl A (PURAX)	A	Dividend			Sold	09/30/16	J		
51. Undiscovered Managers Behavioral Value A (UBVAN)	A	Dividend			Sold	09/30/16	J		

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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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Vanguard FTSE Developed Markets ETF (VEA)	A	Dividend			Sold	09/30/16	K		
53. Wells Fargo Short Term High Yield Bond CI A (SSTHX)	B	Dividend			Sold	09/30/16	M		
54. Vanguard Large Cap ETF IV (VV) (X)	A	Dividend			Sold	09/30/16	J		
55. Accenture PLC Class A	A	Dividend	J	T	Buy	10/03/16	K		
56. Adient PLC		None			Buy	10/31/16	J		
57.					Sold	11/28/16	J		
58. Check PT Software		None	K	T	Buy	10/03/16	K		
59. Cognizant Tech Solu Class A		None	K	T	Buy	10/03/16	K		
60. CR Bard Incorporate	A	Dividend	J	T	Buy	10/03/16	K		
61. CVS Health Corp	A	Dividend	J	T	Buy	10/03/16	K		
62. Danaher Corp		None	J	T	Buy	10/03/16	K		
63. Ecolab Inc	A	Dividend	J	T	Buy	10/03/16	K		
64. Expeditors Intl Wash	A	Dividend	J	T	Buy	10/03/16	K		
65. Fastenal Co	A	Dividend	K	T	Buy	10/03/16	K		
66. Fedex Corporation	A	Dividend	K	T	Buy	10/03/16	K		
67. Franklin Resources		None	K	T	Buy	10/03/16	K		
68. Illinois Tool Works		None	K	T	Buy	10/03/16	K		

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69. Johnson & Johnson	A	Dividend	J	T	Buy	10/03/16	K		
70. Johnson Ctls Intl		None	J	T	Buy	10/03/16	K		
71. Medtronic PLC	A	Dividend	J	T	Buy	10/03/16	K		
72. Microsoft Corp	A	Dividend	K	T	Buy	10/03/16	K		
73. Novartis AG ADR		None	J	T	Buy	10/03/16	K		
74. Proctor & Gamble	A	Dividend	J	T	Buy	10/03/16	K		
75. Qualcomm Inc	A	Dividend	J	T	Buy	10/03/16	K		
76. Sherwin Williams Co	A	Dividend	J	T	Buy	10/03/16	K		
77. Stryker Corp		None	J	T	Buy	10/03/16	K		
78. Thermo Fisher Scntfc	A	Dividend	J	T	Buy	10/03/16	K		
79. Visa Inc Class A	A	Dividend	J	T	Buy	10/03/16	K		
80. Wal-mart Stores Inc	A	Dividend	J	T	Buy	10/03/16	K		
81. WW Grainger Inc	A	Dividend	J	T	Buy	10/03/16	K		

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

In the 2016 report, assets were sorted by account and identified with individual headers. As a result, lines 9 and 47 of the 2016 report both correspond with lines 25-29 of the 2015 report, and lines 11 and 52 of the 2016 report both correspond with lines 38-41 of the 2015 report.

Part VII, lines 3-4, 7-9, 14-16, and 20-21 of the 2015 report were sold in their entirety during 2015.

Part VII, lines 29, 37, 41, and 44 of the 2015 report should have reflected "Sold (part)" instead of "Sold."

Part VII, line 24 of the 2015 report is a defined benefit pension plan and therefore was removed from Part VII. It continues to be listed in Part II, and when payments are made, they will be reflected in Part III A.

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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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544