

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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, Kathleen H.	2. Court or Organization U.S. Bankruptcy Court, District of Minnesota	3. Date of Report 12/03/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 11/30/2012
7. Chambers or Office Address 8W U.S. Courthouse 300 S. 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. Insert signature on last page.		

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2011-2012	Minnesota Tax Court, Salary	\$125,000.00
2. 2011	Minnesota State Bd of Bar Examiners, fee for correcting bar exams	\$1,020.00
3. 2010	Minnesota Tax Court, Salary	\$125,000.00
4. 2010	Minnesota State Bd of Bar Examiners, fee for correcting bar exams	\$1,250.00
5.		

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. 2012	Neighborhood Development Center, Salary
2. 2011	None
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.				
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.	Franklin Bank	Guaranty/ Contingent Liability for business debt	M
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. State of Minnesota Ret. Plan Internatinal Share Acct		None	K	T					
2. State of Minnesota Ret. Plan Growth Share Acct		None	J	T					
3. State of Minnesota Ret Plan Common Stock Acct		None	L	T					
4. Stae of Minnesota Ret Plan Income Share Acct		None	J	T					
5. State of Minnesota Ret Plan Bond Market acct		None	K	T					
6. State of Minnesota Ret Plan Fixed Interest Acct		None	K	T					
7. State of Minn. Health Savings Acct.		None	J	T					
8. Leisure Specialists Inc.- shares		None	N	W					
9. American Fd Amcap Fund MFAMWM		None	L	T					
10. American Fd Cap MFAMCB		None	K	T					
11. American Fd Europacific MFAMEP		None	K	T					
12. American Fd New World MFAMWF		None	K	T					
13. Americon Fd WA Mutual MFTMD		None	L	T					
14. Hartford Mid Cap Value A MFHTMG		None	K	T					
15. Harford Midcap A MFAMCP		None	K	T					
16. Oppenheimer Small and MidCap Value Fund C OSCCY		None	J	T					
17. Oppenheimer Main Street Select Fund C OMSCX		None	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	
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 Capital Appreciation Fund C OTCFX		None	K	T					
19. Oppenheimer Global Fund C OGLCX		None	J	T					
20. Oppenheimer International Bond Fund C OIBCX		None	K	T					
21. F&B BuildingPartnership		None	J	W					
22. Morgan Stanley Money Market Acct--Bank Deposit Program		None	N	T					
23. Morgan Stanley IRA Money Market Acct Morgan Sanley		None	M	T					
24. Windrider International LLC- member LLC		None	M	T					
25. Schwab Govt Money Fund		None	J	T					
26. American Funds Growth Fund of America Class A		None			Sold	06/29/11	J	A	
27. North Oaks Minn Sr Hsg Rev Bd		None			Sold	03/22/11	J	A	
28. Ignitus, Inc. FKA Direct Marketing Services Inc sold busines	F	Distribution			Sold	04/30/11	L	A	
29. Contract for Deed Martin Sprag	B	Int./Div.	K	T					
30. UBS Financial Services, Inc USA Deposit Account	A	Interest	J	T					

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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/ **Kathleen 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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