

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) Leung, Tony N.	2. Court or Organization District Court - Minnesota	3. Date of Report 08/11/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 342 U.S. Courthouse 316 N. 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Directors	Twin Cities RISE!
2. Advisory Board Member	Wishes & More
3. Chairperson	Yale Alumni Schools Committee of Minneapolis
4. Advisory Board Member	Northern Star Council, BSA
5. Associate Board Directors	Lakewood Cemetery Association
6. Co-Vice President of Subcommittee	Minnesota Chapter of Federal Bar Association
7. Fellow	American Bar Foundation
8. Advisory Board Member	Minnesota National Asian Pacific American Bar Association

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. 2016	Minnesota State Judges Retirement Plan (NO CONTROL, pension plan), managed by Minnesota State Retirement System ("MSRS")
2. 2016	Minnesota Deferred Compensation Plan TNLwith Minnesota State Retirement System
3. 2016	Health Care Savings Plan with Minnesota State Retirement System

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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. 2016

Special School District No. 1, Minneapolis, MN, 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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE 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. Brokerage Account CS1									
2. -WR UNACX Adv Accumulative A	A	Dividend	K	T					
3. -WR UNGX Adv Intl Growth	A	Dividend	J	T	Sold (part)	11/18/16	J	B	
4. -WR UNVGX Adv Vanguard A	A	Dividend	K	T	Sold (part)	11/18/16	K	D	
5. -Cash and Schwab Money Market	A	Interest	J	T					
6. Brokerage Account CS2									
7. -Schwab Inflation SWRSX	A	Dividend	J	T					
8. -Cash and Schwab Money Market	A	Interest	J	T					
9. Brokerage Account CS3									
10. -JACTX (FKA, JAVLX)	A	Dividend	J	T					
11. -SWSSX Small Cap (FKA, Schwab Inflation SWRSX)	A	Dividend	J	T					
12. -Cash & Schwab Money Market	A	Interest	J	T					
13. Brokerage Account F1 Ind									
14. -Fidelity cash account	A	Interest	J	T					
15. -Fidelity Equity Income FEQIX	B	Dividend	L	T					
16. -Fidelity MN Muni Income FIMIX	A	Interest			Sold	11/18/16	J	A	
17. Brokerage Account F2 RI15									

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 = \$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 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)

18. -Fidelity Government FDRXX	A	Interest	K	T					
19. -Fidelity Blue Chip Growth FBGRX	A	Dividend	K	T					
20. -Spartan 500 Index FD Investor Class FUSVX	A	Dividend	K	T					
21. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
22. Brokerage Account F3 R77									
23. -Fidelity Government FDRXX	A	Interest	J	T					
24. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
25. Brokerage Account F4 KRTL R49									
26. -Fidelity Government FDRXX	A	Interest	J	T					
27. -Fidelity Select Tech FSPTX	A	Dividend	J	T					
28. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
29. Brokerage Account F5 IBDA 24									
30. -Fidelity Government FDRXX	A	Interest	J	T					
31. -Fidelity Equity Inc FEQIX	A	Dividend	J	T					
32. -Fidelity Equity Inc FEQIX	A	Distribution	J	T					
33. Brokerage Account F6 I65									
34. -Fidelity Government FDRXX	A	Interest	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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35. -Spartan 500 Index FD Investor Class FUSVX (formerly known as FUSEX)	A	Dividend	K	T					
36. -Fidelity Magellan FMAGX	A	Dividend	K	T					
37. Brokerage Account WR1 IBene 94									
38. -WR Advisor Vanguard A	A	Dividend	J	T					
39. -WR Advisor Vanguard A	A	Distribution	J	T					
40. Wells Fargo Bank Account 1 28	A	Interest	J	T					
41. Wells Fargo Bank Account 2 85	A	Interest	J	T					
42. Bangkok Bank Account (X)	A	Interest	J	T					
43. MN State Judges Retirement Plan (NO CONTROL, pension plan)		None	M	T					
44. MN State Deferred Comp Plan TNL with MSRS									
45. -Dodge & Cox Income	A	Int./Div.	K	T					
46. -Vanguard Balanced Index Inst	A	Dividend	K	T					
47. -Vanguard Dividend Growth Fund (FKA, Janus Twenty)	A	Dividend	L	T					
48. -Vanguard Inst Index Plus	A	Dividend	L	T					
49. -Vanguard Mid Cap Index Inst	A	Dividend	L	T					
50. -T Rowe Price Instl Small Cap Stock (FKA,T Rowe Price Small Cap Stock)	A	Dividend	L	T					
51. -Fidelity Diversified Intl	A	Dividend	K	T					

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(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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52. MN State Health Care Savings Plan with MSRS									
53. -Bond Fund	A	Int./Div.	J	T					
54. -Balanced Fund	A	Int./Div.	K	T					
55. -US Stock Index Fund	A	Dividend	K	T					
56. -US Stock Actively Managed Fund	A	Dividend	K	T					
57. -Broad International Stock Fund	A	Dividend	J	T					
58. MN Teachers Retirement Assoc (NO CONTROL, pension plan)		None	N	T					
59. Mpls Teachers Deferred Comp VALIC									
60. -MFS Research A	A	Dividend	L	T					
61. Vangrd Windsor II Admiral	A	Dividend	K	T					
62. -Dreyfus Basic S&P 500 St	A	Dividend	L	T					
63. -Dreyfus MidCap Index	A	Dividend	L	T					
64. -Dreyfus Small Cap Stk Indx	A	Dividend	L	T					
65. -American Funds EuroPac R4	A	Dividend	L	T					
66. Special School Dist Plan with Great Western Retirement Ser									
67. -Great-W" TR"Price EqInc	A	Dividend	J	T					
68. Great West Money Market	A	Interest	J	T					

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69. -Great-West S&P Small Cap	A	Dividend	J	T					
70. -Alger Mid Cap Growth Portfolio 1-2	A	Dividend	J	T					
71. -Great-West Ariel Midcap Value Fund I	A	Dividend	J	T					
72. -Great-West T Rowe Price MidCap Growth Fund I	A	Dividend	J	T					
73. -Fidelity VIP Growth Portfolio	A	Dividend	J	T					
74. MN State Deferred Comp Plan KRT with MSRS									
75. -T Rowe Price Small Cap Stock	A	Dividend	K	T					
76. -Vanguard Total Intl Stock Index	A	Dividend	J	T					
77. -Vanguard Instl Index Plus	A	Dividend	J	T					
78. -Vanguard Balanced Index Inst	A	Dividend	J	T					
79. -Chengteh Chinaware (Thailand) Co	D	Dividend	K	U					
80. Zurich Medical Corp, note convertible to common stock, receivable		None	M	T					
81. Summit Brewing Company		None	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/ **Tony N. Leung**

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