

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Ridgway, Michael E.	2. Court or Organization United States Bankruptcy Court	3. Date of Report 05/11/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Bankruptcy Court United States Courthouse 300 South Fourth Street, Suite 7W 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.)

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. 2015 St. Thomas Law School, teaching -- compensation to be paid in 2016.
2. _____
3. _____

FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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. _____

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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.

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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. Northwestern Mutual Life Ins. - Adjustable Comp. Life	A	Dividend	K	T					
2. Northwestern Mutual Life Ins. - Extraordinary Life	A	Dividend	K	T					
3. Northwestern Mutual IRA		None	J	T					
4. -- Select Bond (Mason Street Advisors)									
5. Wells Fargo Bank, N.A. - Checking Account (X)		None	J	T					
6. Brokerage # 1 (Merrill Lynch)									
7. -- FIA Card Services, N.A. (Bank of America)	A	Interest	J	T					
8. -- Calamos Growth Fund CL 1 (CGRIX)		None			Sold	06/04/15	J	A	
9. -- Keeley Small Cap Value Fund CL A (KSCVX)	B	Distribution	J	T	Sold (part)	06/04/15	J	B	
10. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	J	T					
11. -- Putnam Investors FD CL Y (PNVYX)	A	Dividend	J	T	Sold (part)	06/04/15	J	B	
12. -- Thornburg LTD Term Inc. FD CL 1 (THIIX)	A	Dividend	J	T	Sold (part)	09/29/15	J	A	
13. -- Neuberger Berman Equity, Inc. Fund (NBHIX)	A	Distribution	J	T	Sold (part)	06/04/15	J	A	
14. -- Hennessy Focus Fund (HFCIX)	A	Dividend	J	T	Sold (part)	06/04/15	J	A	
15. -- First Eagle Global Fund, Class I (SGIIX)	A	Dividend	J	T	Sold (part)	02/11/15	J	A	
16. -- Goldman Sachs Rising (GSRLX) (X)	A	Dividend	J	T	Buy	06/04/15	J		
17. -- Invesco European Small (ESMYX) (X)	A	Dividend	J	T	Buy	06/04/15	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 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 ~\$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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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 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. Brokerage # 2 (IRA) (Merrill Lynch)									
19. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	J	T					
20. -- FidelityADV DIV INTL I (FDVIX)	A	Dividend	J	T					
21. -- John Hancock Classic Value Fund CL I (JCVIX)	A	Dividend	K	T					
22. -- Principal Preferred Securites Fund CL P (PPSPX)	C	Dividend	K	T					
23. -- Principal Global Diversified, Inc. Fund (PGDPX)	B	Dividend	K	T					
24. -- RS Global Natural Resources Fund CL Y (RSNYX)		None	J	T					
25. --SunAmerica Senior Floating Rate Fund CL A (SASFX)	A	Dividend	J	T					
26. --Thornburg LTD Term Inc. FD CL I (THIIX)	A	Dividend	K	T					
27. -- Eaton Vance Atlanta Capital - SMID (EISMX)	B	Distribution	K	T					
28. -- Nuveen Preferred Securities (NPSRX)	B	Dividend	K	T					
29. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	K	T					
30. -- Oppenheimer Rising Dividends (OYRDX)	B	Distribution	K	T					
31. -- Scout Mid Cap Fund CL Retail (UMBMX)	B	Distribution	K	T					
32. -- Putnam Equity Spectrum Fund CL Y (PYSYX)	B	Distribution	K	T					
33. -- Goldman Sachs Strategic Income Fund CL I (GSZIX)	B	Dividend	K	T					
34. Brokerage # 3 (ROTH IRA) (Merrill Lynch)									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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)
35. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	J	T					
36. -- Putnam FD for Growth & Income FD CL Y (PGIYX)	A	Dividend	J	T					
37. -- Putnam Multi Cap. Growth Fund CL Y (PNOYX)	A	Distribution	J	T					
38. --Delaware Value Fund INSTL CL (DDVIX)	A	Dividend	J	T					
39. -- Oppenheimer Developing Markets FD CL Y (ODVYX)	A	Dividend	J	T					
40. -- Scout Mid Cap Fund CL Retail (UMBMX)	A	Dividend	J	T					
41. -- Goldman Sachs Rising (GSRLX) (X)	A	Dividend	J	T	Buy	06/04/15	J		
42. -- Invesco European Small (ESMYX) (X)	A	Dividend	J	T	Buy	06/04/15	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 J = \$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 = \$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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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

Line 5 -- this aset was exempt from prior disclosure because both the income and value thresholds were below the reporting requirements.
Lines 16, 17, 41, & 42 -- these assets were first acquired in 2015.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

05/11/2016

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/ Michael E. Ridgway**

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