

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 08/05/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address U.S. Courthouse, 9W 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. 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. President Elect	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. 2018	Minnesota State Judges Retirement Plan (NO CONTROL, pension plan), managed by Minnesota State Retirement System ("MSRS")
2. 2018	Minnesota Deferred Compensation Plan TNLwith Minnesota State Retirement System
3. 2018	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. 2018

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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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 (H)									
2. -IATAX (formerly WR UNACX Adv Accumulative A)	A	Dividend	K	T					
3. -IVINX (formerly WR UNCGX Adv Intl Growth)	A	Dividend	J	T					
4. -WLGAX (formerly WR UNVGX Adv Vanguard A)	A	Dividend	K	T					
5. -Cash and Schwab Money Market	A	Interest	J	T					
6. Brokerage Account CS2 (H)									
7. -Schwab Inflation SWRSX	A	Dividend			Sold	01/22/18	J	A	
8. -Matthews China FD INV MCHFX	A	Dividend	J	T	Buy	01/23/18	J		
9. -Cash and Schwab Money Market	A	Interest	J	T					
10. Brokerage Account CS3 (H)									
11. -JACTX	A	Dividend	J	T					
12. -SWSSX Small Cap	A	Dividend	J	T					
13. -Cash & Schwab Money Market	A	Interest	J	T					
14. Brokerage Account F1 Ind (H)									
15. -Fidelity cash account	A	Interest	J	T					
16. -Fidelity Equity Income FEQIX	D	Dividend	L	T					
17. Brokerage Account F2 RI15 (H)									

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 \$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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18. -Fidelity Government FDRXX	A	Interest	J	T					
19. -Fidelity Blue Chip Growth FBGRX	B	Dividend	K	T					
20. -Fidelity China Region FHKCX	B	Dividend	K	T	Buy	01/22/18	K		
21. -Fidelity MXCI Info FTEC	A	Dividend	J	T	Buy	07/31/18	J		
22. -Fidel 500 FXAIX (formerly FUSVX)	A	Dividend	K	T					
23. -Fidelity NASDAQ Comp ONEQ	B	Dividend	J	T	Buy	07/31/18	J		
24. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend			Sold	07/26/18	K	D	
25. Brokerage Account F3 R77 (H)									
26. -Fidelity Government FDRXX	A	Interest	J	T					
27. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend			Sold	07/26/18	J	B	
28. -Fidelity Blue Chip Growth FBGRX	A	Dividend	J	T	Buy	01/22/18	J		
29. -Fidelity MSCI Info FTEC	A	Dividend	J	T	Buy	07/31/18	J		
30. Brokerage Account F4 KRTL R49 (H)									
31. -Fidelity Government FDRXX	A	Interest	J	T					
32. -Fidelity Select Tech FSPTX	A	Dividend	J	T					
33. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend			Sold	07/30/18	J	B	
34. -Fidelity MSCI FTEC	A	Dividend	J	T	Buy	07/31/18	J		

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35. -Fidelity NASDAQ Comp ONEQ	A	Dividend	J	T	Buy	07/31/18	J		
36. Brokerage Account F5 IBDA 24 (H)									
37. -Fidelity Government FDRXX	A	Interest	J	T					
38. -Fidelity Equity Inc FEQIX	A	Dividend			Sold	01/22/18	J	A	
39. -Fidelity Equity Inc FEQIX	A	Distribution			Sold	01/22/18	J	A	
40. -Janus Henderson Forty JACTX	A	Dividend	J	T	Buy	01/23/18	J		
41. Brokerage Account F6 I65 (H)									
42. -Fidelity Magellan FMAGX	A	Dividend	K	T					
43. -Fidelity Government FDRXX	A	Interest			Sold	01/25/18	J	A	
44. -Fidelity Select Tech FSPTX	A	Dividend	J	T	Buy	01/25/18	J		
45. -Fidelity 500 Index Fund FXAIX (formerly FUSVX)	A	Dividend	K	T					
46. Brokerage Account WR1 IBene 94 (H)									
47. -Ivy Large Cap Growth A WLGAX (formerly WR Advisor Vanguard A)	A	Dividend	J	T					
48. -Ivy Large Cap Growth A WLGAX (formerly WR Advisor Vanguard A)	A	Distribution	J	T					
49. Wells Fargo Bank Account 1 28	A	Interest	K	T					
50. Wells Fargo Bank Account 2 85	A	Interest	J	T					
51. Bangkok Bank Account	A	Interest	J	T					

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52. MN State Judges Retirement Plan (NO CONTROL, pension plan)		None	N	T					
53. MN State Deferred Comp Plan TNL with MSRS (H)									
54. -Dodge & Cox	A	Int./Div.			Sold	01/16/18	K	C	
55. -Vanguard Balanced Index Inst	A	Dividend			Sold	01/16/18	K	C	
56. -Vanguard Dividend Growth Fund	A	Dividend			Sold	01/16/18	L	C	
57. -Vanguard Inst Index Plus	A	Dividend	L	T					
58. -Vanguard Mid Cap Index Inst	A	Dividend	K	T					
59. -T Rowe Price Instl Small Cap Stock	A	Dividend	L	T					
60. -Fidelity Diversified Intl	A	Dividend	L	T					
61. MN State Health Care Savings Plan with MSRS (H)									
62. -Bond Fund	A	Int./Div.			Sold	01/23/18	J	A	
63. -Balanced Fund	A	Int./Div.			Sold	01/23/18	K	A	
64. -US Stock Index Fund	A	Dividend	K	T					
65. -US Stock Actively Managed Fund	A	Dividend	J	T					
66. -Broad International Stock Fund	A	Dividend	K	T					
67. MN Teachers Retirement Assoc (NO CONTROL, pension plan)		None	N	T					
68. Mpls Teachers Deferred Comp VALIC (H)									

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69. Mfs Research R6	A	Dividend			Sold	03/13/18	L	C	
70. Vangrd Windsor II Admiral	A	Dividend			Sold	03/13/18	K	C	
71. Vanguard Inst Idx	A	Dividend	M	T					
72. Vanguard Midcap Index Ins	A	Dividend	L	T					
73. Vanguard Small Cap Idx	A	Dividend	L	T					
74. American Europacific Growth R6	A	Dividend	L	T					
75. Special School Dist Plan with Great Western Retirement Ser (H)									
76. -Great-W' TR'Price EqInc	A	Dividend			Sold	03/07/18	J	A	
77. Great West Money Market	A	Interest			Sold	03/07/18	J	A	
78. -Great-West S&P Small Cap	A	Dividend	J	T					
79. -Alger Mid Cap Growth Portfolio 1-2	A	Dividend			Sold	03/07/18	J	A	
80. -Great-West Ariel Midcap Value Fund I	A	Dividend			Sold	03/07/18	J	A	
81. -Great-West T Rowe Price MidCap Growth Fund I	A	Dividend	K	T					
82. -Fidelity VIP Growth Portfolio	A	Dividend	K	T					
83. Oppenheimer Global Fund	A	Dividend	J	T	Buy	03/07/18	J		
84. MN State Deferred Comp Plan KRT with MSRS (H)									
85. -T Rowe Price Small Cap Stock	A	Dividend	K	T					

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86. -Vanguard Total Intl Stock Index	A	Dividend	J	T					
87. -Vanguard Instl Index Plus	A	Dividend	K	T					
88. -Vanguard Balanced Index Inst	A	Dividend			Sold	03/07/18	K	A	
89. -Vanguard Midcap Index Instl Pl	A	Dividend	K	T	Buy	03/07/18	K		
90. -Chengteh Chinaware (Thailand) Co	D	Dividend	K	U					
91. Zurich Medical Corp, note convertible to common stock, receivable	D	Interest	M	T					
92. 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