

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) Sanberg, Katheen H.	2. Court or Organization U.S. Bankruptcy Court, District of minnesota	3. Date of Report 06/27/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Chief Judge	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 8W 301 U.S. Courthouse 300 S. 4th St. Minneapolis, MN		
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. Co-Trustee	Revocable Trust 1
2. Co-Trustee	Revocable Trust 2
3.	
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.	
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. 2018	State of Minnesota statutory fixed retirement payments	\$1.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Ignitus LLC Compensation
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.)*

<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.			
2.	Metro Community Development	Guaranty/Contingent Liability for Business Debt - Spouse	L
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. First Eagle Overseas Fund SGOVX	A	Int./Div.	K	T					
2. Charles Schwab Ft Money Fund/Deposit Acct SWGXX	A	Interest	J	T					
3. Scwab Fundamental US Large Cp SFLNX	B	Int./Div.	K	T					
4. IShares TR Russell 1000 ETF IWB	A	Dividend	J	T					
5. American FD WA Mut In FD WMFFX	C	Int./Div.	L	U					
6. F&B Building Partnership		None	J	U					
7. Champlain Small Cap CIPSX	B	Int./Div.	K	T					
8. Diamond Hill Small DHSX	B	Int./Div.	K	T					
9. American Fds Growth GFAFX	A	Int./Div.	L	T					
10. Russell Er. Mkts. REMSX	A	Int./Div.	K	T	Sold (part)	01/09/18	J	A	
11. Russell Global Opp Credit S RGCSX	C	Int./Div.	K	T	Buy (add'l)	08/06/18	J		
12. Russell Strategic Bonds CLS RFCTX	C	Int./Div.	M	T					
13. Minnesota St Bonds 604129PM	A	Int./Div.			Matured	08/01/18	K	A	
14. Perman MN Bonds 713788NU	A	Int./Div.			Matured	02/01/18	J	A	
15. American Fund WA Mutual Inv. FD CL F1 WSHFX	A	Int./Div.	K	T					
16. Vanguard Short Term Investment Grade Admiral CL VFSUX	D	Int./Div.	N	T					
17. Vanguard Balanced Index Admiral CL VBIAX	B	Int./Div.	L	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 \$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. Windrider International LLC Note	A	Int./Div.	J	T					
19. Vanguard Federal Money Market Fund (Settlement Fund)	A	Int./Div.	J	T					
20. American FFD Europacific FWTH FD CL S AEPFX	C	Int./Div.	K	T					
21. Cohen & Steers Realty Shares CSRSX	B	Int./Div.	K	T					
22. American Fd EuPa Gwth Fd CL F1 AEGFX	C	Int./Div.	K	T					
23. iShares Russell 2000 ETF IWM	A	Dividend	K	T					
24. iShares MSCI EAFE ETF EFA	A	Dividend	K	T					
25. Vanguard 500 Index Admiral VFIAX	A	Int./Div.	K	T					
26. Franklin MN Tax Free INCM FD CL A FMINX	B	Dividend	L	T	Buy (add'l)	08/03/18	K		
27. Western Asset Core Plus WACPX	A	Dividend	K	T	Buy	02/02/18	K		
28.					Buy (add'l)	08/03/18	J		
29. Am Fds Wash Mut Fd FWMIX (X)	B	Int./Div.	L	T					
30. Vanguard Targ. Ret 2030 VTHRX (X)	A	Int./Div.	K	T	Buy	04/18/18	K		
31. Vanguard Tot. Mkt Ind. Adm. VTSAX (X)	A	Int./Div.	K	T	Buy	04/18/18	K		
32. First Eagle Ov. CLI SGOIX (Y)									
33.									
34.									

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

As the Revocable Trusts #1 and #2 are included in the assets and transactions reported and there are no other beneficiaries, I have reported not reported them by name of account but individually. Other than the investments reported in VII, the other assets of the trusts are not reportable (home).

LFranklin MN Tax Free has been amended to correct typo from 2017- Correct initials are INCM FD CLA In 2017, this was incorrectly listed as INCN FD CLA.

American Funds Wash Mut has been amended to correct typo- WMFX is now WMFFX.

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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/ **Katheen 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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