

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 09/04/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 12W United States Courthouse 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. Insert signature on last page.		

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 of Directors	Friends of the Children Foundation
2. Board of Directors	Federal Bar Association, Minnesota chapter
3. Committee Member	NCBE, Multistate Bar Drafting Committee
4. Rules of Evidence Committee	Judicial Conference
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. 2002	Minnesota State Judge Retirement Plan - former employer - no control
2.	
3.	

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Ericksen, Joan N.

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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. May 2011	MCBE Committee	\$3,500.00
2. Sept 2011	MCBE Committee	\$3,500.00
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.	
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. American Conference Institute	01-31-11 to 02-01-11	New York City	Patent Conference	Transportation, meals, hotel
2. National Conference of Bar Examiners	05-01-11 to 05-04-11	Carmel, CA	Evidence Drafting Committee	Transportation, meals, hotel
3. National Conference of Bar Examiners	09-29-11 to 10-01-11	Vancouver, BC	Evidence Drafting Committee	Transportation, meals, hotel
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.			
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. Minnesota State Retirement System - Judges' Retirement Plan		None	M	T					
2. Fidelity Adv 529 Plan Portfolio 2019 C (no control)		None	K	T					
3. Ameriprise Money Market	A	Interest	L	T					
4. Invesco Global Real Estate (AGREX)	A	Int./Div.	K	T	Buy (add'l)	05/02/11	J		
5. Invesco Global Real Estate (AGREX)					Sold (part)	07/06/11	J	A	
6. Invesco Int'l Small Co (IEGAX)	A	Int./Div.	J	T	Buy	12/06/11	J		
7. Franklin MN Tax Free (FMINX)	A	Int./Div.	J	T	Buy (add'l)	04/26/11	M		
8. Franklin MN Tax Free (FMINX)					Sold (part)	07/06/11	K	A	
9. Franklin MN Tax Free (FMINX)					Sold (part)	08/12/11	K	A	
10. Franklin ILY Tax Free (FRHIX)	A	Int./Div.	K	T	Buy (add'l)	07/06/11	L		
11. Franklin ILY Tax Free (FRHIX)					Sold (part)	12/05/11	L	B	
12. iShares iBoxx Investment Grade Corp (LQD)	A	Int./Div.	K	T	Buy (add'l)	07/08/11	K		
13. iShares iBoxx Investment Grade Corp (LQD)					Sold (part)	07/14/11	J	A	
14. Oppenheimer Int'l Bond (OIBAX)	A	Int./Div.	L	T	Buy (add'l)	07/06/11	K		
15. Oppenheimer Developing Markets (ODMAX)	A	Int./Div.	K	T	Buy (add'l)	05/02/11	J		
16. Oppenheimer Developing Markets (ODMAX)					Buy (add'l)	07/14/11	J		
17. Oppenheimer Developing Markets (ODMAX)					Buy (add'l)	08/12/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000 Q = Appraisal U = Book Value	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H11 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H12 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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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 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. Pimco Real Return Strategy (PCRAX)	C	Int./Div.	K	T					
19. Vanguard Growth (VUG)	A	Int./Div.	K	T					
20. Vanguard Value (VTX)	A	Int./Div.	K	T	Buy (add'l)	07/14/11	J		
21. Wells Fargo S/T High Yield Bond (SSTHX)	A	Int./Div.	L	T	Buy	12/06/11	L		
22. Vanguard Mid Growth (VOT)	A	Int./Div.	J	T					
23. Vanguard High Dividend Yield (VYM)	A	Int./Div.	K	T	Buy	08/16/11	J		
24. Columbia High Yield (INEAX)	B	Int./Div.	K	T	Buy (add'l)	07/07/11	K		
25. Columbia Acorn Int'l (LAIAAX)	A	Int./Div.	J	T	Buy	05/31/11	J		
26. Columbia Acorn Int'l (LAIAAX)					Buy (add'l)	07/12/11	J		
27. Columbia Acorn Int'l (LAIAAX)					Sold (part)	12/05/11	J	A	
28. UMB Scout Int'l (UMBWX)	A	Int./Div.	J	T	Buy (add'l)	05/31/11	J		
29. UMB Scout Int'l (UMBWX)					Sold (part)	07/06/11	J	A	
30. Credit Suisse Commodity (CRSAX)	A	Int./Div.	J	T					
31. Putnam Int'l Capital Opp (PNVAX)	A	Int./Div.	J	T					
32. Vanguard Mid Value (VOE)	A	Int./Div.	J	T					
33. Eagle Small Cap Growth (HRSCX)					Buy	07/12/11	J		
34. Oppenheimer Main St Sm Cap (OPMSX)	A	Int./Div.	J	T					

1. Income Gain Codes:
(See Columns B1 and D4)

A = \$1,000 or less
F = \$50,001 - \$100,000

2. Value Codes
(See Columns C1 and D3)

J = \$15,000 or less
N = \$250,001 - \$500,000
P3 = \$250,000.001 - \$500,000.000

3. Value Method Codes
(See Column C2)

Q = Appraisal
U = Book Value

B = \$1,001 - \$2,500
G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000
O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)
V = Other

C = \$2,501 - \$5,000
I11 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000
P1 = \$1,000,001 - \$5,000,000
P4 = More than \$50,000,000

S = Assessment
W = Estimated

D = \$5,001 - \$15,000
I12 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-I)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-I)	Identity of buyer/seller (if private transaction)
35. Oppenheimer Rochester Muni (ORNAX)	A	Int./Div.	J	T					
36.									

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

My husband's assets are not reportable: He has sole interest in and responsibility for his income, assets and investments. His property is not in any way derived from or associated with any of my income, assets or activities. I do not, and do not expect to, derive any financial or economic benefit from my husband's financial interest or responsibility. A joint tax return with my husband and myself was NOT filed for 2011.

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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/ Joan N. Ericksen**

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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