

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2010

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 04/21/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Attorney Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 12W United States Courthouse 300 South Fourth Street Minneapolis, MN 55415	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign 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	Federal Bar Association
3. Rules of Evidence Committee	Judicial Conference
4. Board of Directors	Minnesota Lawyer
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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FINANCIAL
DISCLOSURE OFFICE

Ericksen , Joan N.

FINANCIAL DISCLOSURE REPORT

Page 2 of 7

Name of Person Reporting

Ericksen, Joan N.

Date of Report

04/21/2011

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. Jan 2010	Teaching - University of St Thomas	\$9,000.00
2. Aug 2010	Teaching - University of St Thomas	\$9,000.00
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. National Conference of Bar Examiners	4-29-2010	Santa Fe, NM	Evidence Drafting Committee	Transportation, meals, hotel
2. GW University Law School	5-11-2010	Washington D.C.	Symposium	Transportation, meals, hotel
3. William Mitchell College of Law	June 2010	London, England	Teaching	Transportation, meals, hotel
4. National Conference of Bar Examiners	11-11-2010	St. Thomas, Virgin Islands	Evidence Drafting Committee	Transportation, meals, hotel
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 7

Name of Person Reporting

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Date of Report

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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. Countrywide Bank	Mortgage	N
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

Name of Person Reporting

Ericksen, Joan N.

Date of Report

04/21/2011

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. Putnam Int'l Capital Opportunities (PNVAX)					Sold (part)	02/02/10	J	A	
3. Putnam Int'l Capital Opportunities (PNVAX)					Sold	05/25/10	J	A	
4. Putnam Int'l Capital Opportunities (PNVAX)	A	Int./Div.	J	T	Buy	02/03/10	J		
5. Vanguard Mid Cap Growth (VOT)	A	Int./Div.	J	T	Sold (part)	05/25/10	J	B	
6. Vanguard Mid Cap Value (VOE)	A	Int./Div.	J	T	Sold (part)	05/25/10	J	C	
7. Vanguard Mid Cap Value (VOE)					Buy	05/25/10	J		
8. Vanguard Growth (VUG)	A	Int./Div.	K	T	Buy	05/25/10	J		
9. Vanguard Value (VTV)	A	Int./Div.	K	T	Buy (add'l)	05/25/10	J		
10. Oppenheimer Int'l Bond (OIBAX)					Buy (add'l)	05/25/10	J		
11. Oppenheimer Int'l Bond (OIBAX)					Sold	05/25/10	K		
12. Oppenheimer Int'l Bond (OIBAX)	B	Int./Div.	L	T					
13. Columbia High Yield (INEAX)	C	Int./Div.	K	T					
14. Invesco Global Real Estate (AGREX)	B	Int./Div.	K	T					
15. Invesco Global Real Estate	A	Int./Div.	J	T					
16. Franklin MN Tax Free (FMINX)	A	Int./Div.	K	T					
17. Franklin HY Tax Free (FRHIX)	A	Int./Div.	K	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 = \$25,000,001 - \$50,000,000

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
H1 = \$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
H2 = More than \$5,000,000

M = \$100,001 - \$250,000
P2 = \$55,000,001 - \$25,000,000

T = Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 7

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	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-H)	Identity of buyer/seller (if private transaction)
18. Oppenheimer Rochester Nat'l Muni (ORNAX)	A	Int./Div.	J	T					
19. Oppenheimer Developing Markets (ODMAX)	A	Int./Div.	K	T					
20. Pimco Commodity Real Return Strategy (PCRAX)	B	Int./Div.	K	T					
21. Invesco Global Real Estate (AGREX)					Buy (add'l)	05/25/10	J		
22. UMB Scout Int'l (UMBWX)	A	Int./Div.	J	T	Buy	05/25/10	J		
23. iShares Barclays TIPS (TIP)					Sold	05/25/10	J	A	
24. Credit Suisse Commodity Return Strategy (CRSAX)	A	Int./Div.	J	T					
25. iShares iBoxx Invest-Grade Corp (LQD)	A	Int./Div.	J	T					
26. Oppenheimer Main Street Small Cap (OPMSX)		None	J	T					

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W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

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FINANCIAL DISCLOSURE REPORT

Page 6 of 7

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 7

Name of Person Reporting

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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

A black rectangular box redacting the signature.

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY 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

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1. Person Reporting (last name, first, middle initial) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 04/21/2011
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Attorney Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
7. Chambers or Office Address 12W United States Courthouse 300 South Fourth Street Minneapolis, MN 55415	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
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2. Aug 2010	Teaching - University of St Thomas	\$9,000.00
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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.)*

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FINANCIAL DISCLOSURE REPORT

Page 3 of 7

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<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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2.		
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4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 7

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1. Minnesota State Retirement System - Judges' Retirement Plan		None	M	T					
2. Putnam Int'l Capital Opportunities (PNVAX)					Sold (part)	02/02/10	J	A	
3. Putnam Int'l Capital Opportunities (PNVAX)					Sold	05/25/10	J	A	
4. Putnam Int'l Capital Opportunities (PNVAX)	A	Int./Div.	J	T	Buy	02/03/10	J		
5. Vanguard Mid Cap Growth (VOT)	A	Int./Div.	J	T	Sold (part)	05/25/10	J	B	
6. Vanguard Mid Cap Value (VOE)	A	Int./Div.	J	T	Sold (part)	05/25/10	J	C	
7. Vanguard Mid Cap Value (VOE)					Buy	05/25/10	J		
8. Vanguard Growth (VUG)	A	Int./Div.	K	T	Buy	05/25/10	J		
9. Vanguard Value (VTV)	A	Int./Div.	K	T	Buy (add'l)	05/25/10	J		
10. Oppenheimer Int'l Bond (OIBAX)					Buy (add'l)	05/25/10	J		
11. Oppenheimer Int'l Bond (OIBAX)					Sold	05/25/10	K		
12. Oppenheimer Int'l Bond (OIBAX)	B	Int./Div.	L	T					
13. Columbia High Yield (INEAX)	C	Int./Div.	K	T					
14. Invesco Global Real Estate (AGREX)	B	Int./Div.	K	T					
15. Invesco Global Real Estate	A	Int./Div.	J	T					
16. Franklin MN Tax Free (FMINX)	A	Int./Div.	K	T					
17. Franklin HY Tax Free (FRHIX)	A	Int./Div.	K	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
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3. Value Method Codes
(See Column C2)

Q=Appraisal
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S=Assessment
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Page 5 of 7

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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. Oppenheimer Rochester Nat'l Muni (ORNAX)	A	Int./Div.	J	T					
19. Oppenheimer Developing Markets (ODMAX)	A	Int./Div.	K	T	Buy	04/29/10	J		
20. Oppenheimer Developing Markets (ODMAX)					Buy (add'l)	07/13/10	J		
21. Pimco Commodity Real Return Strategy (PCRAX)	B	Int./Div.	K	T					
22. Invesco Global Real Estate (AGREX)					Buy (add'l)	05/25/10	J		
23. UMB Scout Int'l (UMBWX)	A	Int./Div.	J	T	Buy	05/25/10	J		
24. iShares Barclays TIPS (TIP)	A	Int./Div.	J	T	Sold	05/25/10	J	A	
25. Credit Suisse Commodity Return Strategy (CRSAX)	A	Int./Div.	J	T					
26. iShares iBoxx Invest-Grade Corp (LQD)	A	Int./Div.	J	T					
27. Oppenheimer Main Street Small Cap (OPMSX)		None	J	T					
28. Ameriprise Money Market	A	Interest	J	T					
29. Fidelity Adv 529 2010 C		None	K	T					
30. Minnesota Deferred Comp Plan					Distributed	01/04/10	L		

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	

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Page 6 of 7

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FINANCIAL DISCLOSURE REPORT

Page 7 of 7

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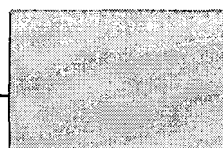
04/21/2011

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



8-6-2011

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Committee on Financial Disclosure
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544