

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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 05/12/2010
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, ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
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.)

POSITION	NAME OF ORGANIZATION/ENTITY
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.	

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DISCLOSURE OFFICE

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE	PARTIES AND TERMS
1. 2002	Minnesota State Judge Retirement Plan - former employer - no control
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. 2009	Teaching - William Mitchell College of Law	\$850.00
2. January 09	Teaching - University of St Thomas	\$9,000.00
3. Fall 2009	Teaching - University of MN Law School	\$6,000.00
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 Bar Association	04/01/2009	Denver, CO	Site Evaluation	Transportation, meals, hotel
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. Countrywide Bank	Mortgage	N
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 Deferred Comp Plan	A	Dividend	L	T					
2. Minnesota State Retirement System - Judges' Retirement Plan		None	L	T					
3. Ameriprise Money Market	A	Int./Div.	K	T					
4. AIM Global Real Estate (AGREX)					Sold (part)	10/29	J		
5. AIM Global Real Estate (AGREX)					Sold (part)	08/28	K		
6. AIM Global Real Estate (AGREX)					Buy (add'l)	06/03	J		
7. AIM Global Real Estate (AGREX)					Buy (add'l)	03/03	J		
8. AIM Global Real Estate	A	Dividend	K	T					
9. Credit Suisse Commodity (CRSAX)					Sold	12/30/09	K		
10. Credit Suisse Commodity (CRSAX)					Buy (add'l)	08/28	J		
11. Credit Suisse Commodity (CRSAX)					Buy (add'l)	06/03	J		
12. Credit Suisse Commodity (CRSAX)					Buy (add'l)	03/03	J		
13. Credit Suisse Commodity (CRSAX)	A	Dividend	J	T					
14. Fid Adv Emerging Markets (FAMKX)					Sold	8/28	K		
15. Fid Adv Emerging Markets (FAMKX)					Buy (add'l)	03/03	J		
16. Franklin MN Insured Tax Free (FMINX)					Sold (part)	12/30	J		
17. Franklin MN Insured Tax Free (FMINX)					Buy (add'l)	09/01	K		

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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☐ 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)
18. Franklin MN Insured Tax Free (FMINX)					Sold (part)	06/03	J		
19. Franklin MN Insured Tax Free (FMINX)					Buy (add'l)	03/03	J		
20. Franklin MN Insured Tax Free (FMINX)	A	Dividend	J	T					
21. RVS High Yield Bond (INEAX)					Buy (add'l)	12/30	K		
22. RVS High Yield Bond (INEAX)					Sold (part)	10/29	J		
23. RVS High Yield Bond (INEAX)					Buy (add'l)	09/01	J		
24. RVS High Yield Bond (INEAX)					Buy (add'l)	03/03	J		
25. RVS High Yield Bond (INEAX)	A	Dividend	J	T					
26. Oppenheimer Int'l Bond (OIBAX)					Buy (add'l)	12/30	J		
27. Oppenheimer Int'l Bond (OIBAX)					Buy (add'l)	08/28	K		
28. Oppenheimer Int'l Bond (OIBAX)					Buy (add'l)	03/03	J		
29. Oppenheimer Int'l Bond (OIBAX)	A	Dividend	L	T					
30. Oppenheimer Roch Nat'l Muni (ORNAX)					Sold (part)	12/30	J		
31. Oppenheimer Roch Nat'l Muni (ORNAX)					Buy (add'l)	03/03	J		
32. Oppenheimer Roch Nat'l Muni (ORNAX)	A	Dividend	J	T					
33. Putnam Int'l Cap Opp (PNVAX)					Sold (part)	08/28	J		
34. Putnam Int'l Cap Opp (PNVAX)					Buy (add'l)	03/03	J		

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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	
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35. Putnam Int'l Cap Opp (PNVAX)	A	Dividend	J	T					
36. Vanguard Mid Cap Value (VOE)					Sold (part)	12/30	J		
37. Vanguard Mid Cap Value (VOE)					Sold (part)	08/28	J		
38. Vanguard Mid Cap Value (VOE)					Buy (add'l)	03/03	J		
39. Vanguard Mid Cap Value (VOE)	A	Dividend	J	T					
40. Vanguard Mid Cap Growth (VOT)					Sold (part)	08/28	J		
41. Vanguard Mid Cap Growth (VOT)					Buy (add'l)	06/03	J		
42. Vanguard Mid Cap Growth (VOT)					Buy (add'l)	03/03	J		
43. Vanguard Mid Cap Growth (VOT)	A	Dividend	J	T					
44. Vanguard Growth (VUG)					Sold (part)	12/30	J		
45. Vanguard Growth (VUG)					Sold (part)	08/28	J		
46. Vanguard Growth (VUG)					Buy (add'l)	03/03	J		
47. Vanguard Growth (VUG)	A	Dividend	J	T					
48. RiverSource US Govt (RFGXX)					Sold	01/16	L		
49. Fid Adv 529 2010 C			K	T	Buy (add'l)	06/23	J		
50. Pimco Commodity Real Return (PCRAX)					Buy	12/31	K		
51. Franklin High Yield Tax Free Income (FRHIX)					Buy (add'l)	10/29	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P1 = \$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	
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52. Franklin High Yield Tax Free Income (FRHIX)					Buy	08/28	J		
53. Franklin High Yield Tax Free Income (FRHIX)	A	Dividend	K	T					
54. Vanguard Value (VTV)					Buy (add'l)	06/03	J		
55. Vanguard Value (VTV)					Buy (add'l)	12/30	J		
56. Vanguard Value (VTV)	A	Dividend	J	T					
57. iShares iBoxx Investment Grade Corp (LQD)					Buy	12/30	J		
58. iShares Barclays TIPS (TIP)					Buy	12/30	J		
59. Oppenheimer Main Street Sm Cap (OPMSX)					Buy	12/30	J		
60.									

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3. Value Method Codes (See Column C2)					

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

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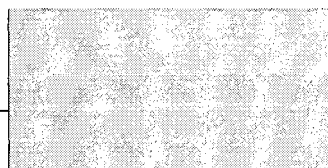
05/12/2010

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 _____



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)

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544