

FINANCIAL DISCLOSURE REPORT

Calendar Year 2003

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (Last name, First name, Middle initial) Heaney, Gerald W	2. Court or Organization U.S. Court of Appeals	3. Date of Report 8/13/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) Senior U.S. Circuit Judge	5. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2003 to 12/31/2003
7. Chambers or Office Address 315 Federal Bldg. 515 W. First St. Duluth, MN 55802	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. Advisory Committee Member

Natural Resources Research Institute
University of Minnesota

2.

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

☒ **NONE** - (No reportable agreements.)

DATE

PARTIES AND TERMS

1.

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Aug 30 11 03 AM '04
FINANCIAL
DISCLOSURE OFFICE

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Heaney, Gerald W

Date of Report

8/13/2004

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 TYPEGROSS INCOME

(yours, not spouse's)

1.

B. Spouse's Non-Investment Income - (If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)☒ **NONE** - (No reportable non-investment income.)DATESOURCE AND TYPE1.

IV. REIMBURSEMENTS — transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of instructions.)

☒ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION1.

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V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of instructions.)☒ **NONE** - (No such reportable gifts.)SOURCEDESCRIPTIONVALUE1.

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)☒ **NONE** - (No reportable liabilities.)CREDITORDESCRIPTIONVALUE CODE1.

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3/13/2004

VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 24-27 of filing instructions.)

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)	If not exempt from disclosure			
	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, transfer, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
19. Citigroup	A	Dividend	J	T	None				
20. Amer FDS Capital World	E	Dividend	J	T	None				
21. Amer Mutual Fund, Inc.	E	Dividend	K	T	None				
22. New Perspective Fund	E	Dividend	K	T	None				
23. Seligman Small CAP Value Fund CLD	D	Dividend	J	T	None				
24. Wash Mutual Inv/ED	E	Dividend	J	T	None				
25. Alliance Growth & Income Fund	D	Dividend	J	T	None				
26. Investment Co. of America	E	Dividend	J	T	None				
27. Pimco Co.	D	Dividend	J	T	None				
28. Seligman Communications	D	Dividend	J	T	None				
29. Fidelity Contrafund	A	Dividend	J	T	None				
30. Fidelity Growth Co. Fund	A	Dividend	J	T	None				
31. Fidelity Growth & Income Fund	A	Dividend	J	T	None				
32. Mercury HW Int'l Value Fund	A	Dividend	J	T	None				
33. Davis	A	Dividend	J	T	None				
34. Managers-Special Equity	A	Dividend	J	T	None				
35. Northern Technologies	B	Dividend	J	T	None				
36. VanGuard 500	A	Dividend	J	T	None				

1. Income/Gain Codes:	A = \$1,000 or less	B = \$1,001-\$2,500	C = \$2,501-\$5,000	D = \$5,001-\$15,000	E = \$15,001-\$50,000
(See Columns B1 and D4)	F = \$50,001-\$100,000	G = \$100,001-\$1,000,000	H1 = \$1,000,001-\$5,000,000	H2 = More than \$5,000,000	
2. Value Codes:	J = \$15,000 or less	K = \$15,001-\$50,000	L = \$50,001-\$100,000	M = \$100,001-\$250,000	
(See Columns C1 and D3)	N = \$250,000-\$500,000	O = \$500,001-\$1,000,000	P1 = \$1,000,001-\$5,000,000	P2 = \$5,000,001-\$25,000,000	
	P3 = \$25,000,001-\$50,000,000		P4 = \$50,000,001-\$100,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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VII. INVESTMENTS and TRUSTS — income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

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 (I-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g. buy, sell, merger, redemption)	If not exempt from disclosure			
						(2) Date: Month - Day	(3) Value Code 2 (I-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37. Federated Income Trust	A	Dividend	J	T	None				
38. Vanguard Total Bond Index	D	Dividend	J	T	None				
39. T Rowe Price Value Fund	D	Dividend	J	T	None				
40. American Growth Fund - Class C	A	Dividend	K	T	None				
41. Colgate Palmolive	A	Dividend	J	T	Buy	6/5	J	A	
42. Kimberly Clark	A	Dividend	J	T	Buy	5/29	J	A	
43. AUX Comp	A	Dividend	J	T	Buy	6/5	J	A	
44. Alcoa	A	Dividend	J	T	Buy	6/5	J	A	
45. Brinker International	A	Dividend	J	T	Buy	6/5	J	A	
46. Abbott Laboratories	A	Dividend	J	T	Buy	6/5	J	A	
47. Pfizer	A	Dividend	J	T	Buy	10/5	J	A	
48. Dell	A	Dividend	J	T	Buy	10/5	J	A	
49. Bank of America	A	Dividend	J	T	Buy	7/14	J	A	
50. Calamos Investment Trust	A	Dividend	K	T	None				
51. Walgreen's	A	Dividend	J	T	None				
52. Johnson & Johnson	A	Dividend	J	T	None				
53. U of M Foundation Annuity	A	Interest	K	T	Buy	6/5	J		
54. Vanguard High Yield Fund	A	Interest	J	T	Buy	6/11	J		

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55. Vanguard GNMA Fund	A	Interest	J	T	Buy	6/11	J		
56. Federated Government Securities	A	Interest	J	T	Buy	7/2	J		
57. Vanguard Index Fund	A	Interest	J	T	Buy	7/10	J		
58. NASDAQ 100 Trust	A	Interest	J	T	Buy	7/10	J		
59. Vanguard 500 Index Fund	A	Interest	J	T	Buy	8/13	J		
60. Federal Government Ultra Short	A	Interest	K	T	Buy	5/21	K		
61. Royal Dutch Pet	I	Dividend	J	T	Buy	6/5	K		
62. Vanguard Energy MKI Fund	A	Dividend	J	T	Buy	9/30			

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS

(Indicate part of Report.)

Part VII Mora Seniors

Part VII Mora Seniors Purchased July 1, 1979 Amount: \$18,312

Part VII Kimberly Meadows Purchased April 15, 1981 Amount: \$20,000

Part VII Minnesota III Purchased July 13, 1988 Amount: \$31,250

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature



Date

Aug 19, 04

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