

UNITED STATES COURT OF APPEALS
EIGHTH CIRCUIT
UNITED STATES COURTHOUSE, SUITE 11W
300 SOUTH FOURTH STREET
MINNEAPOLIS, MINNESOTA 55415

CHAMBERS OF
JAMES B. LOKEN
CHIEF JUDGE

August 3, 2004

The Hon. Mary M. Lisi
Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, NE
Washington, D.C. 20544

Dear Judge Lisi:

In response to your letter of July 6, 2004:

1. Part VII, page 5, line 80, Column A was completed in accordance with page 39 of the filing instructions.
2. Enclosed is an amended Part IX correcting the date of signing. I see no reason why the date of signing has to be the same as the date of the report in Block 3. Rest assured I will not sign and submit a report before May 15 in the future.
3. The entries for all of the income amount codes listed at the top of page 2 of your letter are "NONE" except page 6, line 92, which should be "A" and "Dividend" in lines B(1) and B(2) respectively.

Sincerely,

A large black rectangular redaction box covering the signature and name of the sender.

/th
Enc.

FINANCIAL
DISCLOSURE OFFICE

2004 AUG 11 A 10 21

RECEIVED

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

LOKEN, JAMES B

Date of Report

5/15/2004

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

May 15, 2004

NOTE: AN INDIVIDUAL WHO KNOWINGLY PROVIDES FALSE INFORMATION 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

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) LOKEN, JAMES B	2. Court or Organization EIGHTH CIRCUIT	3. Date of Report 5/15/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE (Active)	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 U.S. Courthouse, Suite 11W 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. Past President	Federal Bar Association, Minnesota Chapter
2. Member	American Law Institute
3.	

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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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 TYPE

1.

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

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

☐ **NONE** - (No such reportable reimbursements.)SOURCEDESCRIPTION

1. University of Colorado School of Law

Participant, "Justice White and the Exercise of Judicial Power," Jan. 24-25, 2003; Boulder, CO; transportation, food, and lodging expenses.

FINANCIAL DISCLOSURE REPORT

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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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VII. INVESTMENTS and TRUSTS -- income, value, transactions (includes those of the spouse and dependent children. See pp. 34-37 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)		(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. STOCKS (All Common)									
2. Allstate Corp.	A	Dividend	J	T					
3. Apogee Enterprises	A	Dividend	J	T					
4. Verizon Communications	A	Dividend	K	T					
5. Bristol-Myers Squibb	A	Dividend	J	T					
6. Zimmer Holdings, Inc.		None	J	T					
7. Target Corp	A	Dividend	K	T					
8. Emerson Electric	C	Dividend	M	T					
9. Exxon Corp.	A	Dividend	K	T					
10. Wachovia Corp.	B	Dividend	L	T					
11. Gabelli Equity Trust	D	Dividend	L	T					
12. Gabelli Global Multimedia Trust		None	J	T					
13. Gabelli Utility Trust	A	Dividend	J	T	Part Sell	10/3	J	A	
14. General Motors	A	Dividend	J	T					
15. Delpai Automotive	A	Dividend	J	T	Sell	8/5	J	A	
16. IBM	A	Dividend	L	T					
17. Xcel Energy, Inc.	C	Dividend	K	T					
18. CenterPoint Energy, Inc.	A	Dividend	J	T	Spin-off	1/3	J		See Part VIII

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	
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						(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. Texas Genco	A	Dividend	J	T	Spin-off	1/3	J		See Part VII
20. Reliant Resources, Inc.					Sell	10/15	J	AA	
21. SBC Communications	B	Dividend	K	T					
22. Pactiv Corp.		None	J	T					
23. Tenneco Automotive		None	J	T					
24. Texas Utilities	A	Dividend	J	T					
25. ASM International		None	J	T					See Part VIII
26. Consol. Delivery & Logistics		None	J	T					
27. Cypress Semicond. Corp.		None	K	T	Buy	1/21	J		
28. FSI International, Inc.		None	K	T	Buy	3/6	J		
29. Digi International		None	L	T	Buy	1/14	J		
30. Chronimed, Inc.					Part Sell	1/17	J	B	
31. Chronimed, Inc.					Sell	3/6	J	D	
32. LSI Logic Corp.					Buy	1/13	J		
33. LSI Logic Corp.		None	K	T	Buy	3/6	J		
34. Conseco, Inc.						9/15			Insolvent
35. Ascenial Software Corp.		None	K	T	Buy	1/21	J		
36. Hewlett-Packard Co.	A	Dividend	J	T					

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
37. Communications Systems	A	Dividend	K	T					
38. MetLife, Inc.					Sell	8/11	J	C	
39. Inhale Therapeutics					Exchange	1/15	J		See Part VIII
40. Nektar Therapeutics		None	J	T	Exchange	1/15	J		See Part VIII
41. Vishay Intertechnology		None	K	T	Buy	9/2	J		
42. ADC Telecommunications					Buy	3/6	J		
43. ADC Telecommunications					Buy	8/5	J		
44. ADC Telecommunications		None	K	T	Buy	10/28	J		
45. Amkor Technology					Part Sell	8/22	J	B	
46. Amkor Technology					Sell	10/28	K	E	
47. Conexant Systems					Spin-off	6/27	J		See Part VIII
48. Mindspeed Technologies		None	J	T	Spin-off	6/27	J		See Part VIII
49. Conexant Systems		None	J	T	Part Sell	7/30	J	A	
50. JDS Uniphase		None	J	T	Buy	1/21	J		
51. Computer Network Technology		None	K	T	Buy	9/2	J		
52. Territory North Company						12/31			Insolvent
53. Actrium Inc.		None	J	T					
54. Atmel Corp.		None	J	T	Buy	1/13	J		

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						(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A- H)	(5) Identity of buyer/seller (if private transaction)
55. August Technology Corp.					Buy	3/6	J		
56. August Technology Corp.					Part sell	8/5	J	A	
57. August Technology Corp.					Sell	12/11	K	D	
58. Select Comfort Corp.					Part sell	5/27	J	D	
59. Select Comfort Corp.		None	J	T	Part sell	10/28	J	D	
60. Nokia Corp.	A	Dividend	J	T					
61. Oracle Corp.		None	K	T					
62. Skyworks Solutions, Inc.					Buy	3/6	J		
63. Skyworks Solutions, Inc.					Buy	11/17	J		
64. Skyworks Solutions, Inc.		None	J	T	Buy	12/12	J		
65. Pemstar					Buy	1/13	J		
66. Pemstar					Sell	9/2	J	A	
67. Norstan, Inc.		None	J	T	Buy	5/27	J		
68. CNS Inc.					Buy	7/30	J		
69. CNS Inc.	A	Dividend	J	T	Buy	10/28	J		
70. Synovis Life Technologies, Inc.		None	J	T	Buy	10/30	J		
71. Cyberoptics Corp.		None	J	T	Buy	12/11	J		
72. Seagate Technology		None	J	T	Buy	12/12	J		

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73. MUTUAL FUNDS									
74. Columbia Acorn Fund	A	Dividend	M	T					Name change
75. Columbia Newport Tiger Fund	A	Dividend	K	T					Name change
76. Fidelity Equity Income Fund II	B	Dividend	L	T					
77. Fidelity Mtn. Tax Free Fund	B	Dividend	L	T					
78. Fidelity Emerging Markets Fund	A	Dividend	J	T					
79. Fidelity Japan Fund		None	J	T					
80. Fidelity Spartan Muni Income Fund (X)	D	Dividend	N	T	Buy	12/24	K		
81. ISP -- Health Sciences		None	L	T					
82. Gabelli Global Growth Fund		None	K	T					
83. Gabelli Growth Fund		None	L	T					
84. Guardian Park Ave Fund	A	Dividend	L	T					
85. Harbor International Fund	B	Dividend	L	T					
86. Investment Co Amer Fund	C	Dividend	M	T					
87. Janus Fund		None	K	T					
88. Mutual Beacon Fund	C	Dividend	N	T					
89. New Perspective Fund	A	Dividend	K	T					
90. Oppenheimer Capital Inc Fund	D	Dividend	M	T					

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91. Oppenheimer Strategic Income	C	Dividend	L	T					
92. Paine, Webber M&M Fund					Sell	8/4	J	A	
93. Putnam Growth Fund	B	Dividend	L	T					
94. Vanguard Fixed Inc Fund S-T	C	Dividend	L	T					
95. Vanguard Fixed Inc Fund GNMA	D	Dividend	M	T					
96. Delaware Voyageur Mn Ins Fund	A	Dividend	K	T					
97. Washington Mutual Fund	C	Dividend	M	T					
98. Vanguard Windsor Fund	A	Dividend	K	T					
99. Vanguard Hi-Yield Corp. Fund	B	Dividend	K	T					
100. Vanguard Prime M&M Fund	A	Dividend	K	T					
101. Vanguard Short Term Corp. Fund	A	Dividend	K	T					
102. Vanguard Long Term Tax Exempt Fund	B	Dividend	K	T					
103. Vanguard Wellington Fund	A	Dividend	K	T					
104. Vanguard Capital Value Fund	A	Dividend	K	T					
105. Artisan International Fund	B	Dividend	L	T					
106. Leuthold Core Inv. Fund	A	Dividend	M	T					
107. Selected American Shares Fund	A	Dividend	L	T					
108. MISC.									

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109. US Bank Piper Jaffray IRA	A	Dividend	L	T					
110. - Treasury Receipts					Part sell	8/18	K		
111. - First American Large Cap Growth Fund									
112. Wells Fargo Bank IRA	A	Dividend	J	T					
113. - Mesa Offshore Trust					Sell	8/18	J		
114. - Wells Fargo Bank MMF					Part sell	8/18	J		
115. F&B Building Partnership		None	J	W					
116. Vanguard Variable Annuity Plan		None	M	T					
117. Great Hall Money Market Yield Fund	A	Dividend	J	T					
118. Wells Fargo Bank	A	Interest	K	T					

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(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 = More than \$50,000,000		
3. Value Method Codes:	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash/Marker	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

LOKEN, JAMES B

Date of Report

5/15/2004

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

CenterPoint Energy spun off shares of Texas Genco on January 3, 2003 (Part VII, lines 18-19)

The ASM transaction described as a "Sell" in Part VII, line 27, of the 2002 Financial Disclosure Report should have been described as a "Part Sell" (Part VII, line 25)

Shares of Inhale Therapeutics were exchanged for shares of Nektar Therapeutics on January 15, 2003 (Part VII, lines 39-40)

Conexant Systems spun off shares of Mindspeed Technologies on June 27, 2003 (Part VII, lines 47-48)

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

LOKEN, JAMES B

Date of Report

5/15/2004

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

April 25, 2003

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