

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Brisbois, Leo I.	2. Court or Organization District Court - Minnesota	3. Date of Report 07/28/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 515 W. First St. Room 412 Duluth, MN 55802		
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.		

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. Executive Committee Member	National Conference of Federal Trial Judges, Judicial Division, American Bar Association
2.	
3.	
4.	
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.	
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.		
2.		
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. 2014	MEDICA; employee wages
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	February, 2014	Chicago, IL	Attend NCFTJ Exec. Committee 2014 Mid-Year Mtg.	Partial lodging and travel
2.	American Bar Association	August, 2014	Boston, MA	Attend NCFTJ Exec. Committee 2014 Annual Mtg.	Partial lodging and travel
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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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)		B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
Place "(X)" after each asset exempt from prior disclosure		(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.	Wells Fargo	A	Interest	K	T					
2.	TruStone Financial	A	Interest	M	T					
3.	US Analyst Strategy		None	K	T					
4.	WT Mid Cap Opps		None	K	T					
5.	Vang Inst Index Plus		None	K	T					
6.	Main Stay Balanced Fund (Class 1)		None	K	T					
7.	Fid Freedom K2030		None	L	T					
8.	Fid Freedom K2035		None	J	T					
9.	The Growth Fund of America-A		None	J	T					
10.	The Investment Company of America -A		None	J	T					
11.	Capital World Growth and Income Fund-A		None	J	T					
12.	Invesco Charter Fund-B	A	Dividend	J	T					
13.	Invesco Mid Cap Core Equity Fund-B	A	Dividend	J	T					
14.	Invesco Charter Fund-A	B	Dividend	J	T					
15.	Invesco American Franchise Fund-A	A	Dividend	J	T					
16.	Invesco American Franchise Fund-B	A	Dividend	J	T					
17.	Invesco Global Growth Fund-A	B	Dividend	J	T					

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=\$25,000,001 - \$50,000,000
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
H=\$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=\$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-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. Invesco Global Growth Fund-B	A	Dividend	J	T					
19. Invesco Mid Cap Core Equity Fund-A	A	Dividend	J	T					
20. Voya Retirement Conservative (A) - 1729		None	M	T					
21. Schwab S&P 500 Index FD		None	J	T					
22. Fundamental Investors SM(F-1) (American Funds) - 7109		None	K	T					
23. Voya Russell TM Large Cap Value Index Portfolio (S)-2711		None	J	T					
24. Fidelity Advisor New Insights Fund (T)-2170		None	K	T					
25. VY Baron Growth Portfolio - Adviser Class-442		None	J	T					
26. VY JP Morgan Mid-Cap Value Portfolio (A)-441		None	J	T					
27. Voya Russell TM Small Cap Index Portfolio (A)-1502		None	J	T					
28. EuroPacific Growth Fund (F-1) (American Funds)-2035		None	J	T					
29. VY Templeton Foreign Equity Portfolio (A)-1587		None	J	T					
30. Voya Intermediate Bond Portfolio (A)-8479		None	J	T					
31. Loomis Sayles Strategic Income Fund - Class A-1938		None	K	T					

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

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

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

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

Part VII, Lines 20, 23, 25-27, 29-30 - Changes only reflect name change in 2014 of account manager from ING U.S., Inc. to Voya Financial, Inc.

Part VII, Lines 12-19, column B(1) & (2) - changes reflect Self-Initiated Amendment

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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.



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
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