

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

|                                                                                                                                                                                     |                                                                                                                                                                                                                                        |                                                                  |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Nelson, Susan R.                                                                                               | <b>2. Court or Organization</b><br><br>U.S. District Court Minnesota                                                                                                                                                                   | <b>3. Date of Report</b><br><br>05/12/2014                       |
| <b>4. Title (Article III judges indicate active or senior status;<br/>magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge, active status                  | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
|                                                                                                                                                                                     | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>774 U.S. Courthouse<br>316 North Robert Street<br>St. Paul, MN 55101                                                                    |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> 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. Director (Advisory Board) | Minnesota Women Lawyers            |
| 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. 05/01/00 | Retirement plan with former firm, 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><br>(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. 2013     | Leonard Street and Deinard |
| 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.            |              |                 |                |                               |
| 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. Chase        | Credit Card        | J                 |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. UBS IRA #2 - Wells Fargo Diversified Capital Builders Fund                                                               | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/13                | K                               | E                              |                                                                   |
| 2. UBS Money Market                                                                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Thor Industries Stock - Common                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Evergreen Equity Tr Bal. Fund (now Wells Fargo)                                                                          | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. First American Tech. Fund (now Nuveen Mid-Cap SelectFund)                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. UGTMA Acct.#2- FIRST AM. PRIME OBLIGS FD A (now American)                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/21/13                | K                               | D                              |                                                                   |
| 7. Leonard Street and Deinard 401K                                                                                          | G                                       | Interest                                      | O                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Robins, Kaplan, Miller & Ciresi 401K                                                                                     | F                                       | Interest                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Private Bank Minnesota Checking Account                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Private Bank Minnesota Checking Account                                                                                 | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Morgan Stanley: AMERICAN CAP INC BUILDER A (X)                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. Morgan Stanley: AMERICAN CAP WRLD GR & INC A (X)                                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Morgan Stanley: EUROPACIFIC GRW A (X)                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Morgan Stanley: GR FD OF AMERICA A (X)                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 17.                                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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

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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: s/ **Susan R. Nelson**

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  
Administrative Office of the United States Courts  
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Washington, D.C. 20544