

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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) Sanberg, Kathleen H.	2. Court or Organization U.S. Bankruptcy Court, District of minnesota	3. Date of Report 07/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☒ Amended Report	
7. Chambers or Office Address 8W 301 U.S. Courthouse 300 S. 4th St. Minneapolis, MN		
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. Co-Trustee	Revocable Trust 1
2. Co-Trustee	Revocable Trust 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. 2019	State of Minnesota statutory fixed retirement payments	\$14,899.00
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. 2019	Ignitus LLC Compensation
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 Bankruptcy Institute	10/3/19- 10/4/19	Kansas City, MO	Speak at Seminar	Hotel, meals, airfare
2.	National Conference of Bankruptcy Judges	10/29/19- 11/3/19	Washington, D.C.	Attend Conference	Hotel
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.)

	SOURCE	DESCRIPTION	VALUE
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.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Metro Community Development	Guaranty/Contingent Liability for Business Debt - [REDACTED]	L
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. First Eagle Overseas Fund SGOVX	A	Dividend	L	T	Sold (part)	01/17/19	J	B	
2. Charles Scwab Ft Money Fund/Deposit Acct SWGXX	A	Interest			Sold	01/17/19	J	A	
3. Scwab Fundamental US Large Cp SFLNX	B	Dividend	L	T					
4. IShares TR Russell 1000 ETF IWB	A	Dividend	J	T	Sold (part)	01/17/19	J	A	
5. American FD WA Mut In FD WMFFX	C	Dividend			Sold	01/10/19	L	D	
6. F&B Building Parnership	C	Distribution			Closed	12/31/19	J		
7. Champlain Small Cap CIP SX	C	Dividend	K	T	Buy (add'l)	12/19/19	J		
8. Diamond Hill Small DHSX	A	Dividend			Sold	12/19/19	K	A	
9. American Fds Growth GFAFX	C	Dividend	L	T					
10. Russell Er. Mkts. REMSX	A	Dividend	K	T					
11. Russell Global Opp Credit S RGCSX	B	Dividend	K	T	Buy (add'l)	01/17/19	J		
12. Russell Strategic Bonds CLS RFCTX	A	Dividend			Sold	01/17/19	M	E	
13. American Fund WA Mutual Inv. FD CL F1 WSHFX	A	Dividend			Sold	01/17/19	J	B	
14. Vanguard Short Term Investment Grade Admiral CL VFSUX	D	Dividend	N	T					
15. Vanguard Short Term Investment Grade Admiral CL VFSUX	D	Dividend	N	T					
16. Vanguard Balanced Index Admiral CL VBIAX	B	Dividend	L	T					
17. Windrider International LLC Note	A	Dividend	J	T					

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 \$50,000,000	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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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. Vanguard Federal Money Market Fund (Settlement Fund)	A	Dividend	J	T					
19. American FFD Europacific FWTH FD CL S AEPFX	A	Dividend			Sold	01/10/19	K	D	
20. Cohen & Steers Realty Shares CSRSX	C	Dividend	K	T	Buy (add'l)	01/17/19	J		
21. American Fd EuPa Gwth Fd CL F1 AEGFX	B	Dividend	K	T					
22. IShares Russell 2000 ETF IWM	A	Dividend	L	T	Buy (add'l)	01/17/19	J		
23. IShares MSCI EAFE ETF EFA	A	Dividend	K	T					
24. Vanguard 500 Index Admiral VFIAX	A	Dividend	K	T					
25. Franklin MN Tax Free INCM FD CL A FMINX	B	Dividend	L	T					
26. Western Asset Core Plus WACPX	D	Dividend	M	T	Buy (add'l)	01/17/19	L		
27. Am Fds Wash Mut Fd FWMIX	B	Dividend	L	T					
28. Vanguard Targ. Ret 2030 VTHRX	A	Int./Div.	K	T	Sold (part)	12/30/19	K		
29. Vanguard Tot. Mkt Ind. Adm. VTSAX	A	Dividend			Sold	12/30/19	K	A	
30. Vanguard Fed. Money Mkt F VIMFXX	A	Int./Div.	J	T	Buy	12/31/19	K		
31. Am. Fds. Europac Gr F3 AEGFX	A	Dividend	K	T	Buy	01/17/19	K		
32. Wells Fargo Sp Sm Cap Val Inst ESPNX	A	Dividend	K	T	Buy	01/17/19	K		
33. Wells Fargo Adv. MN NWMIX	A	Dividend	K	T	Buy	04/09/19	J		
34. Am Fds US Gov Sec F1 UGSFX	A	Dividend	K	T	Buy	01/17/19	K		

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35. Am Fds US Gov Sec F3 USGFX	B	Dividend	L	T	Buy	01/17/19	L		

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

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D =\$5,001 - \$15,000

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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.)*

As the Revocable Trusts #1 and #2 are included in the assets and transactions reported and there are no other beneficiaries, I have reported not reported them by name of account but individually. Other than the investments reported in VII, the other assets of the trusts are not reportable (home).

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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/ **Kathleen H. Sanberg**

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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