

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/08/2019
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	6. Reporting Period 01/01/2018 to 12/31/2018
	5b. ☐ Amended Report	
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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. 2018	YMCA of Duluth; employee wages
2. 2018	Core Pilates by Sue, LLC; self-employed fitness instructor
3. 2018	Viverant; employee wages
4. 2018	Runa Yoga; employee wages

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	August, 2018	Chicago, IL	Attend NCFTJ Exec. Committee 2018 Annual Mtg.	Partial lodging and travel
2. Defense Adv. Com. on the Invest., Prosec. and Defense of Sexual Assault/Armed Forces	January, 2018	Washington, DC	Attend Defense Advisory Committee Meetings	Travel, Lodging, Per Diem
3. Defense Adv. Com. on the Invest., Prosec. and Defense of Sexual Assault/ Armed Forces	April, 2018	Washington, DC	Attend Defense Advisory Committee Meetings (DAC-IPAD)	Travel, Lodging, Per Diem

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4.	Defense Adv. Com. on the Invest., Prosec. and Defense of Sexual Assault/ Armed Forces	July, 2018	Washington,DC	Attend Defense Advisory Committee Meetings (DAC-IPAD)	Travel, Lodging, Per Diem
5.	Defense Adv. Com. on the Invest., Prosec. and Defense of Sexual Assault/ Armed Forces	October, 2018	Washington, DC	Attend Defense Advisory Committee Meetings (DAC-IPAD)	Travel, Lodging, Per Diem

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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.		
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)	(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)
1. Wells Fargo	A	Interest	K	T					
2. TruStone Financial	A	Interest	M	T					
3. US Analyst Strategy	A	Int./Div.	K	T					
4. WT Mid Cap Opps	A	Int./Div.	K	T					
5. Vang Inst Index Plus	A	Int./Div.	K	T					
6. Main Stay Balanced Fund (Class 1)	A	Int./Div.	K	T					
7. Fid Freedom K2030	A	Int./Div.	M	T					
8. Fid Freedom K2035	A	Int./Div.	J	T					
9. The Growth Fund of America-A	A	Int./Div.	J	T					
10. The Investment Company of America-A	A	Int./Div.	J	T					
11. Capital World Growth and Income Fund-A	A	Int./Div.	J	T					
12. Invesco Charter Fund-B		None	J	T					
13. Invesco Mid Cap Core Equity Fund-B	A	Int./Div.	J	T					
14. Invesco Charter Fund-A	A	Int./Div.	J	T	Distributed (part)	07/23/18	J		Account Holder
15. Invesco American Franchise Fund-A	A	Int./Div.	J	T	Distributed (part)	07/23/18	J		Account Holder
16. Invesco American Franchise Fund-B	A	Int./Div.	J	T					
17. Invesco Global Growth Fund-A	A	Int./Div.	J	T	Distributed (part)	07/23/18	J		Account Holder

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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☐ 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				
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	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		None	J	T					
19. Invesco Mid Cap Core Equity Fund-A	A	Int./Div.	J	T	Distributed (part)	07/23/18	J		Account Holder
20. Voya Retirement Conservative (A) - 1729	D	Int./Div.	M	T					
21. Schwab S&P 500 Index FD	A	Int./Div.	J	T	Distributed (part)	01/15/18	J		Account Holder
22. Fundamental Investors SM(F-1) (American Funds)-7109	A	Int./Div.	K	T					
23. Voya Russell TM Large Cap Value Index Portfolio (S)-2711	A	Int./Div.	K	T					
24. Fidelity Advisor New Insights Fund (T)-2170	A	Int./Div.	K	T					
25. VY Baron Growth Portfolio - Advisor Class-442	A	Int./Div.	J	T					
26. VY JP Morgan Mid-Cap Value Portfolio (A)-441	A	Int./Div.	J	T					
27. Voya Russell TM Small Cap Index Portfolio (A)-1502	A	Int./Div.	J	T					
28. EuroPacific Growth Fund (F-1)(American Funds)-2035	A	Int./Div.	J	T					
29. VY Templeton Foreign Equity Portfolio (A)-1587	A	Int./Div.	J	T					
30. Voya Intermediate Bond Portfolio (A)-8479	A	Int./Div.	K	T					
31. Loomis Sayles Strategic Income Fund Class A-1938	A	Int./Div.	K	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
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 12 - Invesco Charter Fund - B, converted into Invesco Charter Fund - A line 14.

Line 14 - Distribution due to withdrawal for college tuition.

Line 15 - Distribution due to withdrawal for college tuition.

Line 17 - Distribution due to withdrawal for college tuition.

Line 18 - Invesco Global Growth Fund - B, converted into Invesco Global Growth Fund - A, line 17.

Line 19 - Distribution due to withdrawal for college tuition.

Line 21 - Distribution due to withdrawal for college tuition.

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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/ **Leo I. Brisbois**

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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