

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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>Fisher, William J.                                                                                                                   | <b>2. Court or Organization</b><br><br>District of Minnesota                                                                                                                                                                                                                             | <b>3. Date of Report</b><br><br>07/14/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Bankruptcy Judge                                                              | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
| <b>7. Chambers or Office Address</b><br><br>232 Warren E. Burger Federal Building and US Courthouse<br>316 North Robert Street<br>St. Paul, MN 55101                                                      |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><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.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions )

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 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. |  |  |

# FINANCIAL DISCLOSURE REPORT

Page 2 of 8

Name of Person Reporting

Fisher, William J.

Date of Report

07/14/2020

## 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. 2019     | US Bank National Association - salary (retired May, 2019)                                              |
| 2. 2019     | Jesse Hallett Charitable trust and E.W. Hallett Charitable trusts - salary (starting May, 2019)        |
| 3. 2019     | Huey Family Foundation - salary (started December 2019 - income may not have been received until 2020) |
| 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. National Conference of Bankruptcy Judges | 10/29/19 - 11/1/19. | Washington, D.C. | conference of bankruptcy judges and attorneys - primarily educational | lodging - partial payment and airfare paid in full |
| 2.                                          |                     |                  |                                                                       |                                                    |
| 3.                                          |                     |                  |                                                                       |                                                    |
| 4.                                          |                     |                  |                                                                       |                                                    |
| 5.                                          |                     |                  |                                                                       |                                                    |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Fisher, William J.       | 07/14/2020     |

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. US Bank | credit cards in the ordinary course | K          |
| 2.         |                                     |            |
| 3.         |                                     |            |
| 4.         |                                     |            |
| 5.         |                                     |            |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Fisher, William J.

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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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Schwab Markettrack All (SWE GX)                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 2. SPDR Dow Jones (DIA)                                                                                                    | D                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. Altria Group Inc. (MO)                                                                                                  | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. Donaldson Company (DCI)                                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Kraft Heinz Company (KHC)                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. McDonald's Corp. (MCD)                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. Mondolez (MDLZ)                                                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. Pfizer Incorporated (PFE)                                                                                               | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. Phillip Morris International (PM)                                                                                       | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. Schwab S and P 500 Index Fund FD (SWPPX)                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. Minnesota State Retirement System Health Savings Account (H)                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 12. - Money Market Account (see part VIII)                                                                                 | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. Individual Retirement Account Plan (H)                                                                                 |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 14. - Vanguard Institutional Index Plus                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/08/19         | L                        |                         |                                                            |
| 15. IRA (H)                                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 16. - Putnam International Equity Class A                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/09/19         | J                        |                         |                                                            |
| 17. - Putnam Growth Opptys                                                                                                 | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/09/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 8

Name of Person Reporting

Fisher, William J.

Date of Report

07/14/2020

## 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)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. - Columbia Seligman Global Technology Fund Class A (HGTX)                                                              | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/09/19         | K                        |                         |                                                            |
| 19. - Columbia Select International Equity Fund Class A (NIAX)                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/09/19         | J                        |                         |                                                            |
| 20. - Columbia Large Cap Growth Fund Class A (LEGAX)                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy (add'l)                               | 07/09/19         | K                        |                         |                                                            |
| 21. - Columbia Mid Cap Growth Fund Class A (CBSAX)                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/09/19         | J                        |                         |                                                            |
| 22. Putnam Retirement Ready 2030 CL A                                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 07/09/19         | K                        |                         |                                                            |
| 23. 401(k) (H)                                                                                                             |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 24. - Vanguard Target Retirement 2025 Retirement Plus                                                                      |                                        | None                                   | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. IRA (H)                                                                                                                |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 26. - Eaton Vance Funds Greater China Growth Fund                                                                          | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/16/19         | J                        |                         |                                                            |
| 27. Charles Schwab Bank (bank account)                                                                                     | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. Pension Account (US Bank) (H)                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 29. - US Bank 2010 Cash Balance Plan                                                                                       | C                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. - US Bank Cash Balance Plan (pre-2002)                                                                                 | B                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. Bank of America (bank account)                                                                                         | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 32. US Bank (bank accounts)                                                                                                | A                                      | Interest                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. Schwab Brokerage/Sweep Account                                                                                         | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. Mass Mutual (whole life insurance)                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 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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|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. US Bank common stock                                                                                                   | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 02/16/19         | J                        |                         |                                                            |
| 36.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 02/26/19         | J                        | A                       |                                                            |
| 37.                                                                                                                        |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/15/19         | J                        |                         |                                                            |
| 38.                                                                                                                        |                                        |                                        |                                                |                                    | Sold                                      | 12/18/19         | J                        | A                       |                                                            |
| 39. Vanguard Target 2025                                                                                                   | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 04/29/19         | M                        |                         |                                                            |
| 40.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 41.                                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
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# FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Fisher, William J.

Date of Report

07/14/2020

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

1. As to the 401k listed on line 24 of Part VII, I am unable to provide a breakdown of the amount of income earned because the information provided does not disclose the income earned for the asset held in the 401k plan.
2. As to the Money Market account listed on line 12 of Part VII, it is assumedly FDIC insured as the state administrator cannot identify a specific money market account.
3. The cash plans listed on lines 29-30 apparently consist of cash to be paid upon my retirement when she reaches a qualifying age. She also apparently has a vested pension which will be paid by her former employer, US Bank, when she reaches a qualifying age but there is no amount to be reported.

# FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

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Date of Report

07/14/2020

## 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/ William J. Fisher**

**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  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544