

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 05/11/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Senior	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 12W United States Courthouse 300 South Fourth Street Minneapolis, MN 55415		
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. _____	_____
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. 2002	Minnesota State Judge Defined Benefit Retirement Plan
2. _____	_____
3. _____	_____

Name of Person Reporting	Date of Report
Ericksen, Joan N.	05/11/2020

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of filing instructions)

A. Filer's Non-Investment Income

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE	INCOME (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.)

[X] NONE (No reportable non-investment income.)

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

[X] NONE (No reportable reimbursements.)

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Ericksen, Joan N.	05/11/2020

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.		
2.		
3.		
4.		
5.		

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. Individual Assets (H)									
2. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)		None	K	T					
3. Trust #1 (H)									
4. Schwab Bank (cash) (X)	A	Interest	J	T					
5. Accenture PLC Class A (ACN)	A	Dividend	J	T					
6. Check PT Software (CHKP)		None	J	T	Sold (part)	03/15/19	J		
7.					Buy (add'l)	09/11/19	J		
8. Church & Dwight Co (CHD)	A	Dividend	J	T	Sold (part)	03/15/19	J		
9.					Sold (part)	06/07/19	J		
10.					Buy (add'l)	11/18/19	J		
11. Cognizant Tech Solu Class A (CTSH)	A	Dividend	J	T	Sold (part)	03/15/19	J		
12.					Buy (add'l)	05/10/19	J		
13. CVS Health Corp (CVS)	A	Dividend	J	T	Buy (add'l)	03/07/19	J		
14.					Sold (part)	11/07/19	J		
15.					Sold (part)	03/15/19	J		
16. Danaher Corp (DHR)	A	Dividend	J	T	Sold (part)	03/07/19	J		
17.					Sold (part)	03/15/19	J		

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

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ericksen, Joan N.

Date of Report

05/11/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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. Ecolab Inc (ECL)	A	Dividend	J	T	Sold (part)	03/07/19	J		
19.					Sold (part)	03/15/19	J		
20.					Sold (part)	06/07/19	J		
21. Expeditors Intl Wash (EXPD)	A	Dividend	J	T	Sold (part)	03/15/19	J		
22. Fastenal Co (FAST)	A	Dividend	J	T	Sold (part)	03/15/19	J		
23. Fedex Corporation (FDX)	A	Dividend	J	T	Sold (part)	03/15/19	J		
24.					Buy (add'l)	09/30/19	J		
25. Franklin Resources (BEN)	A	Dividend			Sold (part)	03/15/19	J		
26.					Sold (part)	09/03/19	J		
27.					Sold	09/04/19	J		
28. Illinois Tool Works (ITW)	A	Dividend	J	T	Sold (part)	03/15/19	J		
29. Intercontinental Exc (ICE)	A	Dividend	J	T	Buy	09/05/19	J		
30. Johnson & Johnson (JNJ)	A	Dividend	J	T	Sold (part)	03/15/19	J		
31. Medtronic PLC (MDT)	A	Dividend	J	T	Sold (part)	03/15/19	J		
32.					Buy (add'l)	04/26/19	J		
33.					Sold (part)	08/29/19	J		
34. Microsoft Corp (MSFT)	A	Dividend	J	T	Sold (part)	03/21/19	J		

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

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)
35. Proctor & Gamble (PG)	A	Dividend	J	T	Sold (part)	03/15/19	J		
36.					Sold (part)	08/29/19	J		
37. Qualcomm Inc (QCOM)	A	Dividend	J	T	Sold (part)	03/15/19	J		
38.					Sold (part)	04/17/19	J		
39. Sherwin Williams Co (SHW)	A	Dividend	J	T	Sold (part)	03/15/19	J		
40.					Sold (part)	09/20/19	J		
41. Snap On Inc (SNA)	A	Dividend	J	T	Sold (part)	03/21/19	J		
42. Stryker Corp (SYK)	A	Dividend	J	T	Sold (part)	03/15/19	J		
43. Thermo Fisher Scientific (TMO)	A	Dividend	J	T	Sold (part)	03/15/19	J		
44. Visa Inc Class A (V)	A	Dividend	J	T	Sold (part)	03/15/19	J		
45. Wal-mart Stores Inc (WMT)	A	Dividend	J	T	Sold (part)	03/15/19	J		
46. Walgreens Boots Alliance (WBA)	A	Dividend	J	T	Sold (part)	03/15/19	J		
47.					Buy (add'l)	05/01/19	J		
48. Walt Disney Co (DIS)	A	Dividend	J	T	Sold (part)	03/15/19	J		
49. IRA #1 (H)									
50. Accenture PLC Class A (ACN)	A	Dividend	K	T					
51. Check PT Software (CHKP)		None	K	T	Sold (part)	04/04/19	J		

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

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P1 =\$1,000,001 - \$5,000,000

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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.)

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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)
52.					Buy (add'l)	08/09/19	J		
53. Church & Dwight Co (CHD)	A	Dividend	K	T	Sold (part)	04/25/19	J		
54.					Sold (part)	06/07/19	J		
55.					Buy (add'l)	11/18/19	J		
56. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Buy (add'l)	05/10/19	J		
57. CVS Health Corp (CVS)	A	Dividend	K	T	Buy (add'l)	03/07/19	J		
58.					Sold (part)	11/07/19	J		
59. Danaher Corp (DHR)	A	Dividend	K	T	Sold (part)	03/07/19	J		
60. Ecolab Inc (ECL)	A	Dividend	K	T	Sold (part)	04/04/19	J		
61.					Sold (part)	06/07/19	J		
62.					Buy (add'l)	12/24/19	J		
63. Expeditors Intl Wash (EXPD)	A	Dividend	K	T	Buy (add'l)	12/24/19	J		
64. Fastenal Co (FAST)	A	Dividend	K	T					
65. Fedex Corporation (FDX)	A	Dividend	K	T	Buy (add'l)	08/09/19	J		
66.					Buy (add'l)	12/24/19	J		
67. Franklin Resources (BEN)	A	Dividend			Sold (part)	09/03/19	J		
68.					Sold	09/04/19	J		

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
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B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
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R =Cost (Real Estate Only)
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C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
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P1 =\$1,000,001 - \$5,000,000
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Name of Person Reporting

Ericksen, Joan N.

Date of Report

05/11/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
69. Illinois Tool Works (ITW)	A	Dividend	K	T					
70. Intercontinental Exc (ICE)	A	Dividend	K	T	Buy	09/05/19	K		
71. Johnson & Johnson (JNJ)	A	Dividend	K	T	Buy (add'l)	09/10/19	J		
72. Medtronic PLC (MDT)	A	Dividend	K	T	Sold (part)	08/29/19	J		
73. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	12/23/19	J		
74. Proctor & Gamble (PG)	A	Dividend	K	T	Sold (part)	08/29/19	J		
75. Qualcomm Inc (QCOM)	A	Dividend	K	T	Sold (part)	04/17/19	J		
76.					Sold (part)	04/18/19	J		
77.					Buy (add'l)	06/04/19	J		
78.					Sold (part)	11/08/19	J		
79. Sherwin Williams Co (SHW)	A	Dividend	K	T	Sold (part)	08/09/19	J		
80. Snap On Inc (SNA)	A	Dividend	K	T	Buy (add'l)	12/24/19	J		
81. Stryker Corp (SYK)	A	Dividend	K	T	Sold (part)	08/29/19	J		
82. Thermo Fisher Scntfc (TMO)	A	Dividend	K	T	Sold (part)	04/04/19	J		
83. Visa Inc Class A (V)	A	Dividend	K	T	Sold (part)	07/12/19	J		
84. Wal-mart Stores Inc (WMT)	A	Dividend	K	T					
85. Walgreens Boots Alliance (WBA)	A	Dividend	K	T	Buy (add'l)	04/04/19	J		

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

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	(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)
86. Walt Disney Co (DIS)	A	Dividend	K	T					
87. IRA #2 (H)									
88. Accenture PLC Class A (ACN)	A	Dividend	J	T					
89. Check PT Software (CHKP)		None	J	T	Buy (add'l)	09/11/19	J		
90. Church & Dwight Co (CHD)	A	Dividend	J	T	Sold (part)	04/29/19	J		
91.					Buy (add'l)	11/18/19	J		
92. Cognizant Tech Solu Class A (CTSH)	A	Dividend	J	T	Buy (add'l)	05/14/19	J		
93. CVS Health Corp (CVS)	A	Dividend	J	T	Buy (add'l)	03/11/19	J		
94.					Sold (part)	11/07/19	J		
95. Danaher Corp (DHR)	A	Dividend	J	T	Sold (part)	03/11/19	J		
96. Ecolab Inc (ECL)	A	Dividend	J	T	Sold (part)	06/11/19	J		
97. Expeditors Intl Wash (EXPD)	A	Dividend	J	T					
98. Fastenal Co (FAST)	A	Dividend	J	T					
99. Fedex Corporation (FDX)	A	Dividend	J	T	Buy (add'l)	05/30/19	J		
100.					Buy (add'l)	09/30/19	J		
101. Franklin Resources (BEN)	A	Dividend			Sold (part)	09/03/19	J		
102.					Sold	09/04/19	J		

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(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
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103. Illinois Tool Works (ITW)	A	Dividend	J	T					
104. Intercontinental Exc (ICE)	A	Dividend	J	T	Buy	09/05/19	J		
105. Johnson & Johnson (JNJ)	A	Dividend	J	T					
106. Medtronic PLC (MDT)	A	Dividend	J	T	Sold (part)	08/29/19	J		
107. Microsoft Corp (MSFT)	A	Dividend	J	T	Sold (part)	06/11/19	J		
108. Proctor & Gamble (PG)	A	Dividend	J	T	Sold (part)	05/04/19	J		
109.					Sold (part)	08/29/19	J		
110. Qualcomm Inc (QCOM)	A	Dividend	J	T	Sold (part)	04/30/19	J		
111.					Buy (add'l)	06/06/19	J		
112. Sherwin Williams Co (SHW)	A	Dividend	J	T					
113. Snap On Inc (SNA)	A	Dividend	J	T					
114. Stryker Corp (SYK)	A	Dividend	J	T	Sold (part)	08/29/19	J		
115. Thermo Fisher Scntfc (TMO)	A	Dividend	J	T					
116. Visa Inc Class A (V)	A	Dividend	J	T					
117. Wal-mart Stores Inc (WMT)	A	Dividend	J	T					
118. Walgreens Boots Alliance (WBA)	A	Dividend	J	T	Buy (add'l)	04/08/19	J		
119. Walt Disney Co (DIS)	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Ericksen, Joan N.

Date of Report

05/11/2020

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

FINANCIAL DISCLOSURE REPORT

Page 12 of 12

Name of Person Reporting

Ericksen, Joan N.

Date of Report

05/11/2020

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/ **Joan N. Ericksen**

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