

**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) Brisbois, Leo I.	2. Court or Organization 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) Magistrate Judge (FT)	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 515 W. First St. Room 412 Duluth, MN 55802		
IMPORTANT NOTES: <i>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>		

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.	

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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. 2019	YMCA of Duluth; employee wages
2. 2019	Core Pilates by Sue, LLC; self-employed fitness instructor
3. 2019	Viverent; employee wages
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 Bar Association	January, 2019	Las Vegas, NV	Attend NCFTJ Executive Committee Midyear Meeting	Partial Lodging and Travel
2.	Defense Adv. Com. on the Invest., Prosecu. and Defense of Sexual Assault/Armed Forces	August, 2019	Washington, DC	Attend Defense Advisory Committee Meetings	Travel, Lodging, Per Diem
3.	Defense Adv. Com. on the Invest., Prosecu. and Defense of Sexual Assault/Armed Forces	November, 2019	Washington, DC	Attend Defense Advisory Committee Meetings (DAC-IPAD)	Travel, Lodging, Per Diem

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4.	American Bar Association	August, 2019	San Francisco, CA	Attend NDFJT Exec. Committee 20196 Annual Meeting	Patial Lodging and Travel
5.	Michigan State University, College of Law	June, 2019	Lansing, MI	Faculty at Tribal Justice Services Trial Advocacy Training	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) 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. Wells Fargo	A	Interest	K	T					
2. TruStone Financial	A	Interest	M	T					
3. US LG CAP ACTIVE EQ	A	Int./Div.	K	T					
4. US SMID ACTIVE EQ	A	Int./Div.	K	T					
5. VANG INST 500 IDX TR	A	Int./Div.	K	T					
6. Main Stay Balanced Fund (Class 1)	A	Int./Div.	K	T					
7. VANG INST TR 2030	A	Int./Div.	M	T					
8. VANG INST TR 2035	A	Int./Div.	K	T					
9. The Growth Fund of America - A	A	Int./Div.	K	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 Mid Cap Core Equity Fund - B	A	Int./Div.	J	T					
13. Invesco Charter Fund - A	A	Int./Div.	J	T					
14. Invesco American Franchise Fund - A	A	Int./Div.	J	T					
15. Invesco American Franchise Fund - A	A	Int./Div.	J	T					
16. Invesco Global Growth Fund - A	A	Int./Div.	J	T					
17. Invesco Mid Cap Core Equity Fund - A	A	Int./Div.	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	

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)
18. Voya Retirement Conservative (A) - 1729	A	Int./Div.	M	T					
19. Fundamental Investors SM(F-1) (American Funds) - 7109	A	Int./Div.	K	T					
20. Voya Russell TM Large Cap Value Index Portfolio (S) - 2711	A	Int./Div.	K	T					
21. Fidelity Advisor New Insights Fund (T) - 2170	A	Int./Div.	K	T					
22. VY Baron Growth Portfolio - Advisor Class - 442	A	Int./Div.	J	T					
23. VY JP Morgan Mid-Cap Value Portfolio (A) - 441	A	Int./Div.	K	T					
24. Voya Russell TM Small Cap Index Portfolio (A) - 1502	A	Int./Div.	K	T					
25. EuroPacific Growth Fund (F-1)(American Funds) - 2035	A	Int./Div.	J	T					
26. Voya Intl High Dividend Lo Vol Portfolio (A) - 1587	A	Int./Div.	J	T					
27. Voya Intermediate Bond Portfolio (A) - 8479	A	Int./Div.	K	T					
28. 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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line [3] - US Analyst Strategy, converted into US LG CAP ACTIVE EQ

Line [4] - WT MID CAP OPPS, converted into US SMID ACTIVE EQ

Line [5] - Vang Inst. Index Plus, converted into Vang Inst. 500 IDX TR

Line [7] - FID FREEDOM K2030, converted into VANG INST TR 2030

Line [8] - FID FREEDOM K2035, converted into VANG INST TR 2035

Line [15] - Invesco Ameican Franchise Fund B, converted to Invesco America Franchise Fund A.

Line [26] - VY Templeton Foreign Equipt Portfolio (A) - 1587, converted into Voya Intl High Dividend Low Vol Portfolio

Schwab S&P Index FD, Line 21 in 2019 report, deleted from 2020 report. Account holder was not a resident of Person Reporting household in 2019 reporting period.

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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
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