

AO-33
Rev. 1-89**FINANCIAL DISCLOSURE REPORT**Annual Report Due by May 15 from Judicial Officers and
certain Judicial Employees (28 USC App. 1, §§ 301-303)

Person Reporting (Last name, first, middle initial) <u>LOKEN, JAMES B.</u>	Court or Organization <u>U.S. COURT OF APPEALS EIGHTH CIRCUIT</u>	Date of Report <u>SEPT 11, 1990</u>
Title <u>CIRCUIT JUDGE</u>	Date of Entry/Nomination/Termination (only if initial or final report) <u>SEPTEMBER 10, 1990</u>	Reporting Period (Calendar year, or inclusive dates) <u>JAN. 1, 1989 to AUG. 31, 1990</u>
Home or office address <u>1779 IRVING AVE. So. MINNEAPOLIS, MN. 55403</u>		
IMPORTANT NOTES: Please read the instructions accompanying this form. The report should include information pertaining to your spouse and dependent children, if any. Attach additional sheets if needed, identifying each attachment by showing your name, the date of the report, and the section(s) being completed. Complete all sections, checking the NONE box for each section where you have no reportable information. Compare and reconcile this report with last year's and list items in the same order as last year. Type or print clearly. Sign on last page.		

I. POSITIONS. (Reporting individual only; see pp. 15-17 of Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☐ NONE (No reportable positions)	
<u>PARTNER</u>	<u>FARRER & BENSON</u>

II. AGREEMENTS. (Reporting individual only; see p. 17 of Instructions.)

DATE	PARTIES AND TERMS
☐ NONE (No reportable agreements)	
<u>JAN. 1, 1985</u>	<u>FARRER & BENSON AGREEMENT OF PARTNERSHIP - PROVIDES WITHDRAWING PARTNER APPROX. 6 MONTHS COMPENSATION FIRM CAN PAY IN 4 YRS. OR LESS. F&B RETIREMENT PLAN FOR LAWYERS - WITHDRAWING PARTNER CAN LEAVE ACCOUNT OR TRANSFER TO ANOTHER QUALIFIED PLAN.</u>

III. NON-INVESTMENT INCOME. (Partial disclosure for spouse; see pp. 18-20 of Instructions.)

DATE (Honoraria only)	SOURCE AND TYPE	GROSS INCOME (Yours, not spouse's)
☐ NONE (No reportable non-investment income)		
1	<u>FARRER & BENSON - INCOME FROM PRACTICE OF LAW</u>	<u>\$ 426,553.00</u>
2		\$
3		\$
4		\$
5		\$

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JAMES B. LOKEN

Date of Report

SEPT. 11, 1990

IV. REIMBURSEMENTS and GIFTS--transportation, lodging, food, entertainment.
(Includes those to spouse and dependent children; see pp. 20-22 of Instructions.)SOURCEDESCRIPTION

NONE (No such reportable reimbursements or gifts)

1		
2		
3		
4		
5		
6		
7		

V. OTHER GIFTS. (Includes those to spouse and dependent children; see pp. 20-22 of Instructions.)SOURCEDESCRIPTIONVALUE

NONE (No such reportable gifts)

1		\$	
2		\$	
3		\$	
4		\$	

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 22-24 of Instructions.)CREDITORDESCRIPTIONVALUE CODE*

NONE (No reportable liabilities)

1		
2		
3		
4		
5		
6		
7		

* VALUE CODES:	J = \$0 to \$1,000	K = \$1,001 to \$5,000	L = \$5,001 to \$15,000	M = \$15,001 to \$50,000
	N = \$50,001 to \$100,000	O = \$100,001 to \$250,000	P = over \$250,000	

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JAMES B. LOKEN

Date of Report

SEPT. 11, 1990

VII. INVESTMENTS and TRUSTS—Income, value, transactions. (Includes those of spouse; partial disclosure for dependent children; see pp. 24-35 of Instructions.)

A. Description of Assets (Including trust assets) Place "X" after each asset exempt from prior disclosure.	B. Income during period		C. Gross value at end of period		D. Transactions during period (Reporting individual and spouse)				
	Amt. Code* (A-I)	Type (e.g., div.)	Value Code* (J-T)	Value Method Code* (Q-W)	Type (e.g., sold)	Date: Month- Day	Value: Code* (J-T)	Gain: Code* (A-I)	Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1 ADAC LABS (DC)	A		M	T					
2 ADVANCE CIRCUITS (S)	A		L	T					
3 AERQUITRON MED. (S)	A		K	T					
4 ADGEE ENT. (S)	B	Div.	M	T					
5 ARDEN INT. KITCHENS (S)	A		K	T					
6 ASTROCOM (J)	A		K	T					
7 BIO MEDICUS (S)	A		L	T					
8 CHEVRON (J)	B	Div.	M	T					
9 CONT. TEL CALIF. (J)	B	INT.	K	T					
10 CORE STATES (S)	B	Div.	M	T					
11 DAYTON HUDSON (S)	B	Div.	M	T					
12 DEI (S)	B	Div.	L	T					
13 EMERSON ELFC. (J)	C	Div.	M	T					
14 EXPLOSIVE FABRICATORS (S)	A		K	T					
15 EKKON (J)(DC)	E	Div.	O	T					
16 GABELLI EQUITY TRUST (J)(DC)	E	Div.	M	T					
17 GENERAL MOTORS (J)	B	Div.	L	T					
18 HALLWORD (J)	B	INT.	K	T					
19 IBM (J)(S)	C	Div.	M	T					
20 ITT (S)	B	Div.	M	T					

1 Income/Gain Codes: A = exempt (\$0 to \$100)
E = \$5,001 to \$15,000
F = \$15,001 to \$50,000
G = \$50,001 to \$100,000
H = over \$100,000
I = over \$1,000,000
J = exempt (\$0 to \$1,000)
K = \$1,001 to \$5,000
L = \$5,001 to \$15,000
M = \$15,001 to \$50,000
N = \$50,001 to \$100,000
O = \$100,001 to \$250,000
P = over \$250,000
Q = Appraisal
R = Cost (real estate only)
S = Assessed value
T = Cash/market
U = Book value
V = Other
W = Estimated

COMMON STOCKS AND BONDS

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting

JAMES B. LOKEN

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SEPT. 11, 1990

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A. Description of Assets (including trust assets) Place "(X)" after each asset except from prior disclosure.	B. Income during period		C. Gross value at end of period		D. Transactions during period (Reporting individual and spouse)			
	Amt. Code ¹ (A-I)	Type (e.g., div.)	Value Code ² (J-P)	Value Method Code ³ (Q-W)	Type (e.g., sold)	Date: Month- Day	Value Code ² (J-P)	Gain Code ¹ (A-I) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions) -PAGE 2-								
1 JOSTENS (S)		B Div.	L	T				
2 LEE DATA (S)		A	J	T				
3 MICHAEL FOODS (S)		A	K	T				
4 MONITERM (S)		A	K	T				
5 MORTGAGE PLUS INV. (DC)		C Div.	L	T				
6 NA. STATES POWER (J)		C Div.	M	T				
7 REXON (DC)		A	M	T				
8 SUPER VALUE (DC)		B Div.	L	T				
9 TENNECO (J)		C Div.	M	T				
10 ACORN FUND (J)		B Div.	M	T				
11 ALLIANCE INTNATL (J)		A	M	T				
12 ALLIANCE QUASAR (J)		B Div.	K	T				
13 BOSTON CAR APPRN (DC)		E Div.	M	T				
14 ICA (S)		B Div.	L	T				
15 NEW PERSPECTIVE (J)		B Div.	L	T				
16 PARK AVENUE (J)		C Div.	M	T				
17 TEMPLETON GLOBAL (J)		C Div.	M	T				
18 (J) (DC) NORWEST BK. MN. (CHG. ACCT)		E INT.	M	T				
19 (J) (J) (DC) PIPER JAFFRAY MONEY MKT.		D Div.	N	T				
20 (J) FIDELITY MN. TAX FREE FUND		D Div.	M	T				

1 Income/Gain Codes:	A = exempt (\$0 to \$100) E = \$5,001 to \$15,000	B = \$101 to \$1,000 F = \$15,001 to \$50,000	C = \$1,001 to \$2,500 G = \$50,001 to \$100,000	D = \$2,501 to \$5,000 H = over \$100,000
2 Value Codes:	J = exempt (\$0 to \$1,000) N = \$50,001 to \$100,000	K = \$1,001 to \$5,000 O = \$100,001 to \$250,000	L = \$5,001 to \$15,000 P = over \$250,000	M = \$15,001 to \$50,000
3 Value Method Codes:	Q = Appraisal U = Book value	R = Cost (real estate only) V = Other	S = Assessed value W = Estimated	T = Cash/market

COMMON STOCKS

MUTUAL FUNDS

FINANCIAL DISCLOSURE REPORT (cont'd)

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SEPT. 11, 1990

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A. Description of Assets (including trust assets) Place "(X)" after each asset except from prior disclosure.	B. Income during period		C. Gross value at end of period		D. Transactions during period (Reporting individual and spouse)				
	Am. Code (A-H)	Type (e.g., div.)	Value, Code (J-P)	Value Method Code (Q-W)	Type (e.g., sold)	Date: Month- Day	Value, Code (J-P)	Gain, Code (A-H)	Identity of beneficiary (if private transaction)
☐ NONE (No reportable income, assets, or transactions) -PAGE 3-									
1 SAN JOSE, CAL. (DC) PRIME WEBBER MONEY MKT	B	DIV.	L	T					
2 PERSONAL IRA ACCT.	B	DIV.	M	T					
3 SPOUSE IRA ACCT.	A		K	T					
4 HESTER GROVES, INC. (S)(DC)	F	INCOME	O	W					
5 CAPTANA SAN JOSE PARTNERS (S)	B	INCOME	M	T					
6 F&B BUILDING P'SHIP	A		A						
7 F&B RETIREMENT PLAN:									
8 NON SELF DIRECT	F	DIV. INT.	O	T					
9 LINDNER DIV. FUND	A		M	T					
10 MUT. BEACON FUND	A		N	T					
11 NATL. TOTAL INC. FUND	A		M	T					
12 OPPENHEIMER EQUITY INC.	A		M	T					
13 PUTNAM GROWTH FUND	A		M	T					
14 TEMPLETON GLOBAL FUND	A		M	T					
15 WASHINGTON MUT. FUND	A		M	T					
16 F&B INVESTORS	D	INCOME			SOLD				
17 410 INVESTORS (S)	B	DIV. INT.			SOLD				
18 HAMBRECHT & QUIST M&F (DC)	D	DIV.			ACCT. CLOSED				
19 PAN AMERICAN BONDS (S)(S)	B	INT.			MATURED				
20									

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FINANCIAL DISCLOSURE REPORT (cont'd)

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VIII. ADDITIONAL INFORMATION or EXPLANATIONS. (Indicate section of Report.)



Check to affirm that differences in investments from those reported in prior year are exempt from disclosure.

IX. CERTIFICATION.

In compliance with the provisions of 28 U.S.C. § 455 and of Advisory Opinion No. 57 of the Advisory Committee on Judicial Activities, and to the best of my knowledge at the time after reasonable inquiry, I did not perform any adjudicatory function in any litigation during the period covered by this report in which I, my spouse, or my minor or dependent children had a financial interest, as defined in Canon 3C(3)(c), in the outcome of such litigation.

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.

Signature

James B. Loken

Date

Sept. 11, 1990

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (28 U.S.C. APP. I, § 304, AND 28 U.S.C. § 1001.)

FILING INSTRUCTIONS:

1. Mail signed original and 3 additional copies to:

Judicial Ethics Committee
Administrative Office of the
United States Courts
Washington, DC 20544
2. Deliver one copy to the Clerk of the Court on which you sit or serve. (Judicial employees not associated with a specific court, such as employees of the Administrative Office and the Federal Judicial Center, need not file a copy with any court.)

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS		LIABILITIES	
Cash on hand and in banks	<u>75,000</u>	Notes payable to banks—secured	<u>None</u>
U.S. Government securities—add schedule	<u>23,600</u>	Notes payable to banks—unsecured	<u>None</u>
Listed securities—add schedule	<u>1,128,300</u>	Notes payable to relatives	<u>None</u>
Unlisted securities—add schedule	<u>145,000</u>	Notes payable to others	<u>None</u>
Accounts and notes receivable:		Accounts and bills due	<u>3,000</u>
Due from relatives and friends	<u>None</u>	Unpaid income tax	<u>None</u>
Due from others	<u>None</u>	Other unpaid tax and interest	<u>None</u>
Doubtful	<u>None</u>	Real estate mortgages payable—add schedule	<u>7,000</u>
Real estate owned—add schedule	<u>350,000</u>	Chattel mortgages and other liens payable	<u>None</u>
Real estate mortgages receivable	<u>None</u>	Other debts—itemize:	<u>None</u>
Autos and other personal property	<u>75,000</u>		
Cash value—life insurance	<u>5,000</u>		
Other assets—Itemize:			
		Total liabilities	<u>10,000</u>
		Net worth	<u>1,791,800</u>
		Total liabilities and net worth	<u>1,801,800</u>
Total assets	<u>1,801,800</u>		
CONTINGENT LIABILITIES		GENERAL INFORMATION	
As endorser, cosigner or guarantor	<u>None</u>	Are any assets pledged? (Add schedule.)	<u>No</u>
On leases or contracts	<u>None</u>	Are you defendant in any suits or legal actions?	<u>No</u>
Legal Claims	<u>None</u>	Have you ever taken bankruptcy?	<u>No</u>
Provision for Federal Income Tax	<u>None</u>		
Other special debt	<u>None</u>		