

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) Leung, Tony N.	2. Court or Organization District Court - Minnesota	3. Date of Report 08/13/2020
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 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Diana E. Murphy U.S. Courthouse, 9W 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. Board Directors	Twin Cities RISE!
2. Advisory Board Member	Wishes & More
3. Chairperson	Yale Alumni Schools Committee of Minneapolis
4. Associate Board Directors	Lakewood Cemetery Association
5. President Elect	Minnesota Chapter of Federal Bar Association
6. Fellow	American Bar Foundation
7. Advisory Board Member	Minnesota National Asian Pacific American Bar Association

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. 2019	Minnesota State Judges Retirement Plan (NO CONTROL, pension plan), managed by Minnesota State Retirement System ("MSRS")
2. 2019	Minnesota Deferred Compensation Plan TNLwith Minnesota State Retirement System
3. 2019	Health Care Savings Plan with Minnesota State Retirement System

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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	Special School District No. 1, Minneapolis, MN, salary
2.	
3.	
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.				
2.				
3.				
4.				
5.				

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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. Brokerage Account CS1 (H)									
2. -IATAX (formerly WR UNACX Adv Accumulative A)	A	Dividend	K	T					
3. -IVINX (formerly WR UNCGX Adv Intl Growth)	A	Dividend	J	T					
4. - WLGAX (formerly WR UNVGX Adv Vanguard A)	A	Dividend	K	T					
5. -Cash and Schwab Money Market	A	Interest	J	T					
6. Brokerage Account CS2 (H)									
7. - Matthews China FD INV MCHFX	A	Dividend	J	T					
8. -Cash and Schwab Money Market	A	Interest	J	T					
9. Brokerage Account CS3 (H)									
10. - JACTX	A	Dividend	J	T					
11. -SWSSX Small Cap	A	Dividend	J	T					
12. -Cash & Schwab Money Market	A	Interest	J	T					
13. Brokerage Account F1 Ind (H)									
14. -Fidelity cash account	A	Interest	J	T					
15. -Fidelity Equity Income FEQIX	D	Dividend	K	T					
16. Brokerage Account F2 RI15 (H)									
17. -Fidelity Government FDRXX	A	Interest	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	

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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) 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)
18. -Fidelity Blue Chip Growth FBGRX	B	Dividend	K	T					
19. -Fidelity China Region FHKCX	B	Dividend	K	T					
20. -Fidelity MXCI Info FTEC	A	Dividend	J	T					
21. -Fidel 500 FXAIX (formerly FUSVX	A	Dividend	K	T					
22. -Fidelity NASDAQ Comp ONEQ	B	Dividend	J	T					
23. Brokerage Account F3 R77 (H)									
24. -Fidelity Government FDRXX	A	Interest	J	T					
25. -Fidelity Blue Chip Growth FBGRX	A	Dividend	J	T					
26. -Fidelity MSCI Info FTEC	A	Dividend	J	T					
27. Brokerage Account F4 KRTL R49 (H)									
28. -Fidelity Government FDRXX	A	Interest	J	T					
29. -Fidelity Select Tech FSPTX	A	Dividend	K	T					
30. -Fidelity MSCI FTEC	A	Dividend	J	T					
31. -Fidelity NASDAQ Comp ONEQ	A	Dividend	J	T					
32. Brokerage Account F5 IBDA 24 (H)									
33. -Fidelity Government FDRXX	A	Interest	J	T					
34. -Janus Henderson Forty JACTX	A	Dividend	J	T					

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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	
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	(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. Brokerage Account F6 I65 (H)									
36. -Fidelity Magellan FMAGX	A	Dividend	K	T					
37. -Fidelity Select Tech FSPTX	A	Dividend	J	T					
38. -Fidelity 500 Index Fund FXAIX (formerly FUSVX)	A	Dividend	K	T					
39. Brokerage Account WR1 IBene 94 (H)									
40. -Ivy Large Cap Growth A WLGAX (formerly WR Advisor Vanguard A)	A	Dividend	J	T					
41. -Ivy Large Cap Growth A WLGAX (formerly WR Advisor Vanguard A)	A	Distribution	J	T					
42. Wells Fargo Bank Account 1 28	A	Interest	K	T					
43. Wells Fargo Bank Account 2 85	A	Interest	J	T					
44. Bangkok Bank Account	A	Interest	J	T					
45. MN State Judges Retirement Plan (NO CONTROL, pension plan)		None	N	T					
46. MN State Deferred Comp Plan TNL with MSRS (H)									
47. -Vanguard Inst Index Plus	A	Dividend	M	T					
48. -Vanguard Mid Cap Index Inst	A	Dividend	L	T					
49. -T Rowe Price Instl Small Cap Stock	A	Dividend	L	T					
50. -Fidelity Diversified Intl	A	Dividend	L	T					
51. MN State Health Care Savings Plan with MSRS (H)									

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	(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. -US Stock Index Fund	A	Dividend			Sold	06/28/19	K	A	
53. -US Stock Actively Managed Fund	A	Dividend			Sold	06/28/19	K	A	
54. -Broad International Stock Fund	A	Dividend			Sold	06/28/19	K	A	
55. Vanguard Total Intl Stock Idx Instl Pls	A	Dividend	K	T	Buy	06/28/19	K		
56. Vanguard Total Stock Mkt Idx Instl Pls	A	Dividend	L	T	Buy	06/28/19	L		
57. MN Teachers Retirement Assoc (NO CONTROL, pension plan)		None	N	T					
58. Mpls Teachers Deferred Comp VALIC (H)									
59. Vanguard Inst Idx	A	Dividend	M	T					
60. Vanguard Midcap Index Ins	A	Dividend	L	T					
61. Vanguard Small Cap Idx	A	Dividend	L	T					
62. American Europacific Growth R6	A	Dividend	L	T					
63. Special School Dist Plan with Great Western Retirement Ser (H)									
64. -Great-West S&P Small Cap	A	Dividend	J	T					
65. -Great-West T Rowe Price MidCap Growth Fund I	A	Dividend	K	T					
66. -Fidelity VIP Growth Portfolio	A	Dividend	K	T					
67. Oppenheimer Global Fund	A	Dividend	J	T					
68. MN State Deferred Comp Plan KRT with MSRS (H)									

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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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
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M =\$100,001 - \$250,000
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69. -T Rowe Price Small Cap Stock	A	Dividend	K	T					
70. -Vanguard Total Intl Stock Index	A	Dividend	J	T					
71. -Vanguard Instl Index Plus	A	Dividend	K	T					
72. -Vanguard Midcap Index Instl Pl	A	Dividend	K	T					
73. -Chengteh Chinaware (Thailand) Co	D	Dividend	K	U					
74. Zurich Medical Corp, note convertible to common stock, receivable	D	Interest	M	T					
75. Summit Brewing Company		None	J	T					

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

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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/ Tony N. Leung**

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