

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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) Sanberg, Katheen H.	2. Court or Organization U.S. Bankruptcy Court, District of minnesota	3. Date of Report 06/10/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address 8W 301 U.S. Courthouse 300 S. 4th St. Minneapolis, MN		
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. Co-Trustee	Revocable Trust 1
2. Co-Trustee	Revocable Trust 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.	
2.	
3.	

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Name of Person Reporting

Sanberg, Katheen H.

Date of Report

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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. 2020	State of Minnesota statutory fixed retirement payments	\$15,198.84
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. 2020	Ignitus LLC Compensation
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.				

Name of Person Reporting	Date of Report
Sanberg, Katheen H.	06/10/2021

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. First Eagle Overseas Fund SGOVX	A	Int./Div.			Sold	06/05/20	K	C	
2. Scwab Fundamental US Large Cp SFLNX	B	Int./Div.	L	T	Sold (part)	06/05/20	J	B	
3. IShares TR Russell 1000 ETF IWB	A	Dividend	J	T	Sold (part)	06/05/20	J	B	
4. Champlain Small Cap CIP SX	A	Int./Div.	J	T					
5. American Fds Growth GFAFX	A	Int./Div.			Sold	06/05/20	L	C	
6. Russell Er. Mkts. REMSX	A	Int./Div.			Sold (part)	01/14/20	J	A	
7.					Sold (part)	05/21/20	K	C	
8.					Sold	11/20/20	K	B	
9. Russell Global Opp Credit S RGCSX	B	Int./Div.			Buy (add'l)	01/07/20	J		
10.					Buy (add'l)	06/05/20	J		
11.					Sold	11/20/20	L	D	
12. Vanguard Short Term Investment Grade Admiral CL VFSUX	D	Int./Div.	M	T					
13. Vanguard Balanced Index Admiral CL VBIAX	C	Int./Div.	L	T					
14. Windrider International LLC Note	A	Int./Div.	J	T					
15. Vanguard Federal Money Market Fund (Settlement Fund)	A	Int./Div.	J	T					
16. Cohen & Steers Realty Shares CSRSX	A	Int./Div.			Buy (add'l)	01/07/20	J		
17.					Buy (add'l)	06/05/20	J		

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) 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.					Sold	11/20/20	K	C	
19. American Fd EuPa Gwth Fd CL F1 AEGFX	B	Int./Div.			Sold (part)	06/05/20	K	C	
20.					Sold	11/20/20	K	C	
21. IShares Russell 2000 ETF IWM	A	Int./Div.	K	T	Buy (add'l)	03/25/20	J		
22.					Sold (part)	11/20/20	K	C	
23. Pimco Income Instl PIMIX	A	Int./Div.	K	T	Buy	11/20/20	K		
24. IShares MSCI EAFE ETF EFA	A	Dividend	K	T	Sold (part)	07/30/20	J	B	
25. Vanguard 500 Index Admiral VFIAX					Sold (part)	05/29/20	K	C	
26. Franklin MN Tax Free INCM FD CL A FMINX	C	Dividend	L	T					
27. Western Asset Core Plus WACPX	D	Dividend	M		Buy (add'l)	01/07/20	J		
28. Am Fds Wash Mut Fd FWMIX	B	Int./Div.	L	T	Sold (part)	06/05/20	K	C	
29. Vanguard Targ. Ret 2030 VTHRX	A	Int./Div.							
30. Vanguard Fed. Money Mkt F VIMFXX	A	Int./Div.							
31. Am. Fds. Europac Gr F3 AEGFX	A	Dividend			Sold (part)	06/05/20	K	C	
32.					Sold	11/20/20	K	D	
33. Wells Fargo Sp Sm Cap Val Inst ESPNX (X)	A	Dividend			Buy	01/07/20	J		
34.					Sold	06/05/20	K	C	

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

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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. Wells Fargo Adv. MN NWMIX (X)	A	Dividend			Buy	01/07/20	J		
36.					Sold	06/05/20	K	C	
37. Am Fds US Gov Sec F1 UGSFX	A	Dividend			Buy (add'l)	06/05/20	J		
38.					Buy (add'l)	08/07/20	K		
39.					Sold	11/20/20	L	D	
40. Am Fds US Gov Sec F3 USGFX (X)	B	Dividend			Buy	06/05/20	L		
41.					Sold (part)	03/25/20	K	D	
42.					Sold	11/20/20	M	D	
43. IShares CORE EAFE IEFA (X)	A	Int./Div.	J	T	Buy	06/05/20	J		
44. IShares Core S&P 500 IVV (X)	B	Int./Div.	M	T	Buy	01/07/20	J		
45.					Buy (add'l)	03/25/20	J		
46.					Buy (add'l)	06/05/20	J		
47.					Buy (add'l)	11/20/20	J		
48.					Buy (add'l)	12/15/20	J		
49.					Sold (part)	06/05/20	K	C	
50. Blackrock Total Return Instl MAHQX (X)	A	Dividend	M	T	Buy	11/20/20	M		
51. JPMorgan Ermer Mkt JMIEX (X)	A	Int./Div.	L	T	Buy	05/21/20	K		

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52. Blackrock Tech Opp Instl BGSIX (X)		None	L	T	Buy	11/20/20	L		
53. Amer Funds Europac Growth FEUPX (X)	B	Int./Div.	K	T	Sold	11/20/20	K	C	
54. Blackrock Fds Income Fd Instl BMSIX (X)		None	L	T	Buy	11/20/20	L		
55. Blackrock Mid-Cap Gr Equ. CMGIX (X)		None	K	T	Buy	11/20/20	K		
56. Deluxe Corp DLX (X)		None			Buy	04/13/20	J		
57.					Sold	04/13/20	J	B	
58. Ecolab Inc. ECL (X)		None			Buy	03/23/20	J		
59.					Sold	03/27/20	K	B	
60. NVENT Energy NVT (X)		None			Buy	03/23/20	J		
61.					Sold	03/27/20	J	A	
62. VNGRD VDE (X)		None			Buy	05/18/20	J		
63.					Sold	05/29/20	J	A	
64. Wald Disney Co		None			Buy	03/18/20	J		
65.					Sold	04/13/20	J	B	

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

As the Revocable Trusts #1 and #2 are included in the assets and transactions reported and there are no other beneficiaries, I have reported not reported them by name of account but individually. Other than the investments reported in VII, the other assets of the trusts are not reportable (home).

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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/ **Katheen H. Sanberg**

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
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Washington, D.C. 20544