

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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, Kathleen H.	2. Court or Organization U.S. Bankruptcy Court, District of Minnesota	3. Date of Report 05/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 8W U.S. Courthouse 300 S. 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Director	Catholic Charities of St. Paul and Minneapolis
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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. 2013	St. Thomas School of Law, Adjunct Professor stipend	\$3,000.00
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. 2013	Neighborhood Development Center, Salary
2. 2013	Wilderness Inquiry payment
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.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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. State of Minnesota Ret. Plan Internatinal Share Acct		None			Closed	2/04/13	K		Transferred to Schwab Acct
2. State of Minnesota Ret. Plan Growth Share Acct		None			Closed	2/05/13	J		Transferred to Schwab Acct
3. State of Minnesota Ret Plan Common Stock Acct		None			Closed	2/5/13	L		Transferred to Schwab Acct
4. Stae of Minnesota Ret Plan Income Share Acct		None			Closed	2/5/13	J		Transferred to Schwab Acct
5. State of Minnesota Ret Plan Bond Market acct		None			Closed	2/5/13	K		Transferred to Schwab Acct
6. State of Minnesota Ret Plan Fixed Interest Acct		None			Closed	2/5/13	K		Transferred to Schwab Acct
7. State of Minn. Health Savings Acct.		None	J	T					
8. Leisure Specialists Inc.- shares		None	N	W					
9. American Fd Amcap Fund MFAMWM		None			Sold	2/5/13	L		Transferred to Schwab Acct
10. American Fd Cap MFAMCB		None			Sold	2/5/13	K		Transferred to Schwab Acct
11. American Fd Europacific MFAMEP	E	Int./Div.	L	T	Sold (part)	9/11/13	K		
12. American Fd New World MFAMWF	E	Int./Div.			Sold	2/5/13	K		Transferred to Schwab Acct
13. Americon Fd WA Mutual MFTMD	E	Int./Div.	M	T					
14. Hartford Mid Cap Value A MFHTMG		None			Sold	2/5/13	K		Transferred to Schwab Acct
15. Harford Midcap A MFAMCP		None			Sold	2/5/13	K		Transferred to Schwab Acct
16. Oppenheimer Small and MidCap Value Fund C OSCCY		None			Sold	2/21/13	J		Transferred to Schwab Acct
17. Oppenheimer Main Street Select Fund C OMSCX	C	Int./Div.			Sold	2/21/13	J		Transferred to Schwab Acct

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 = \$25,000,001 - \$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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 5 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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 I (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. Oppenheimer Capital Appreciation Fund C OTCFX	C	Int./Div.			Sold	2/21/13	K		Transferred to Schwab Acct
19. Oppenheimer Global Fund C OGLCX	B	Int./Div.			Sold	2/21/13	J		Transferred to Schwab Acct
20. Oppenheimer International Bond Fund C OIBCX	B	Int./Div.			Sold	2/21/13	K		Transferred to Schwab Acct
21. F&B BuildingPartnership		None	J	W					
22. Morgan Stanley Money Market Acct--Bank Deposit Program	A	Int./Div.	K	T					
23. Morgan Stanley IRA Money Market Acct Morgan Stanley	A	Int./Div.			Closed	2/2/13	M		Transferred to Schwab acct
24. Windrider International LLC- member LLC		None	M	T					
25. Schwab Govt Money Fund	A	Interest	M	T					
26. Maartin Sprag, contract for deed	D	Interest			Matured	7/1/13	J		
27. UBS Financial Services, Money Market, USA Dep Acct		None			Closed	2/5/13	J		Transferred to Schwab acct
28. Schwab Fundamental US Large Co SFLNX (X)	E	Int./Div.	M	T	Buy	2/5/13	M		
29.					Buy (add'l)	5/16/13	J		
30.					Buy (add'l)	7/16/13	K		
31.					Buy (add'l)	8/16/13	J		
32.					Buy (add'l)	5/16/13	J		
33.					Buy (add'l)	9/16/13	J		
34.					Buy (add'l)	10/16/13	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		

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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)

35.					Buy (add'l)	11/18/13	J		
36.					Buy (add'l)	12/16/13	J		
37. Schwab Fund. SFENX (X)	A	Int./Div.	K	T	Buy	9/11/13	K		
38. Champlain Small Cap CIPSX (X)		None	K	T	Buy	5/16/13	J		
39.					Buy (add'l)	6/17/13	J		
40.					Buy (add'l)	7/17/13	J		
41.					Buy (add'l)	8/16/13	J		
42.					Buy (add'l)	9/11/13	K		
43. Diamond Hill Small DHSX (X)	A	Int./Div.	M	T	Buy	5/16/13	J		
44.					Buy (add'l)	6/17/13	J		
45.					Buy (add'l)	7/16/13	J		
46.					Buy (add'l)	8/16/13	J		
47.					Buy (add'l)	9/11/13	K		
48. Am Fds Was. AWSHX (X)	E	Int./Div.			Sold	9/11/13	M		
49. First Eagle Overseas SCOLX (X)	A	Int./Div.	K	T	Buy	9/11/13	K		
50. Goldman Sachs bonds (X) 38143AS22	A	Int./Div.	L	T	Buy	2/27/13	K		
51.					Buy (add'l)	2/27/13	K		

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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)
52. Goldman Sachs Bonds 38143AN2 (X)	A	Int./Div.	L	T	Buy	2/27/13	L		
53.					Buy (add'l)	2/27/13	J		
54. American Fds Growth GFAFX (X)	A	Int./Div.	M	T	Buy	2/5/13	M		
55. PIMCO Com Real Ret Strat D PCRD (X)	B	Int./Div.	L	T	Buy	5/16/13	J		
56.					Buy (add'l)	9/11/13	K		
57.					Buy (add'l)	6/17/13	J		
58.					Buy (add'l)	7/16/13	J		
59.					Buy (add'l)	7/16/13	J		
60. Selected American Shares SLASX (X)	C	Int./Div.	M	T	Buy	5/16/13	J		
61.					Buy (add'l)	6/17/13	J		
62.					Buy (add'l)	8/16/13	J		
63.					Buy (add'l)	9/16/13	K		
64.					Buy (add'l)	11/18/13	K		
65.					Buy (add'l)	12/16/13	K		
66. Minnesota St bonds 604129PM (X)	A	Interest	L	T	Buy	9/12/13	L		
67. Chaska Sch Dist Bonds 161681PY1 (X)	A	Interest	K	T	Buy	10/25/13	K		
68. Perham MN Bonds 713788NU (X)	A	Interest	K	T	Buy	9/11/13	K		

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 H = \$5,001 - \$15,000	D = \$15,001 - \$50,000 E = \$50,001 - \$100,000	F = \$100,001 - \$500,000 G = \$500,001 - \$1,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$50,001 - \$100,000 Q = \$100,001 - \$250,000	L = \$50,001 - \$100,000 P = \$100,001 - \$250,000 R = \$250,001 - \$500,000	M = \$100,001 - \$250,000 P = \$250,001 - \$500,000 S = \$500,001 - \$1,000,000	N = \$500,001 - \$1,000,000 Q = \$1,000,001 - \$5,000,000 R = \$5,000,001 - \$10,000,000
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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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)

69. Discover Bank Bonds 254671GG (X)	A	Interest	L	T	Buy	2/27/13	L		
70. Mahtomedi MN Bonds 560194QP0 (X)	A	Interest	K	T	Buy	2/20/13	K		
71. Big Lake Minn Bonds 089275JH5 (X)	B	Interest	L	T	Buy	2/19/13	L		
72. Bloomington MN bonds 094797R82 (X)	A	Interest	K	T	Buy	2/19/13	K		
73. Dakota Cnty MN bonds 234096MF9 (X)	A	Interest	K	T	Buy	2/19/13	K		
74. Lake Superior MN bonds 510897DA (X)	C	Interest	L	T	Buy	2/19/13	L		
75.									
76.									
77.									
78.									
79.									
80.									
81.									

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 \$5,000,000	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	

FINANCIAL DISCLOSURE REPORT

Page 9 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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

VII- Investments and Trusts

In 2013 My husband and I transferred all of our retirement funds to a new broker who invested them over the course of the year.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Sanberg, Kathleen H.

Date of Report

05/12/2014

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/ **Kathleen 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
One Columbus Circle, N.E.
Washington, D.C. 20544