

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 05/10/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 12W United States Courthouse 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.	President	Federal Bar Association, Minnesota Chapter
2.	Committee Member	NCBE, Multistate Bar Drafting Committee
3.	Board of Directors	Friends of the Children Foundation
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.	2002	Minnesota State Judge Retirement Plan - Former Employer - No Control
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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. May 2014	NCBE	\$3,500.00
2. Nov 2014	NCBE	\$3,500.00
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.)*

DATE	SOURCE AND TYPE
1.	
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.)*

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. ACI Patent Conference	March 23-25, 2014	Chicago, IL	Speaker	Transportation, Meals, Lodging
2. FBA National Council Mid-Year Meeting	March 28-29, 2014	Arlington, VA	President, MN Chapter of FBA	Transportation, Meals, Lodging
3. NCBE	May 23-26, 2014	San Francisco, CA	Evidence Drafting Committee	Transportation, Meals, Lodging
4. Defense Research Institute (DRI)	July 16-19, 2014	Chicago, IL	Speaker re: Appellate Advocacy	Transportation, Meals, Lodging
5. The American Antitrust Institute	August 13-16, 2014	Palo Alto, CA	Judges' Seminar	Transportation, Meals, Lodging

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6.	NCBE	November 21-24, 2014	Napa, CA	Evidence Drafting Committee	Transportation, Meals, Lodging
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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 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)

1. Minnesota State Retirement System - Judges' Retirement Plan	A	Int./Div.	N	T					
2. Fidelity Adv 529 Plan Portfolio 2019C (no control)	A	Int./Div.	K	T					
3. Ameriprise Money Market	A	Interest	K	T					
4. Columbia Acorn International (LAIA)	A	Int./Div.	K	T					
5. Columbia Acorn International (LAIA)					Buy	06/12/14	K		
6. Columbia Acorn International (LAIA)					Buy (add'l)	06/12/14	J		
7. Columbia Acorn International (LAIA)					Buy (add'l)	07/14/14	J		
8. Columbia Acorn International (LAIA)					Buy (add'l)	08/12/14	J		
9. Columbia Acorn International (LAIA)					Buy (add'l)	09/12/14	J		
10. Columbia Acorn International (LAIA)					Buy (add'l)	10/13/14	J		
11. Columbia Acorn International (LAIA)					Buy (add'l)	11/12/14	J		
12. Columbia Acorn International (LAIA)					Sold (part)	11/20/14	K		
13. Columbia Floating Rate Bond Fund (RFRAX)	B	Int./Div.	K	T					
14. Columbia Floating Rate Bond Fund (RFRAX)					Buy	06/12/14	K		
15. Columbia Floating Rate Bond Fund (RFRAX)					Sold	06/12/14	K	A	
16. Columbia Floating Rate Bond Fund (RFRAX)					Sold	06/12/14	K	A	
17. Columbia Floating Rate Bond Fund (RFRAX)					Sold (part)	10/17/14	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	

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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. Credit Suisse Commodity Return Strategy (CRSAX)	A	None	K	T					
19. Eagle Small Cap Growth (HRSCX)	A	None	K	T					
20. Eagle Small Cap Growth (HRSCX)					Buy	06/12/14	J		
21. Eagle Small Cap Growth (HRSCX)					Buy (add'l)	07/14/14	J		
22. Eagle Small Cap Growth (HRSCX)					Buy (add'l)	08/12/14	J		
23. Eagle Small Cap Growth (HRSCX)					Buy (add'l)	09/12/14	J		
24. Eagle Small Cap Growth (HRSCX)					Buy (add'l)	10/13/14	J		
25. Eagle Small Cap Growth (HRSCX)					Buy (add'l)	11/12/14	J		
26. Invesco Global Real Estate (AGREX)	A	Dividend	K	T					
27. Merger Fund (MERFX)	B	Dividend	M	T					
28. Merger Fund (MERFX)					Buy	06/12/14	M		
29. Merger Fund (MERFX)					Sold	06/12/14	K	A	
30. Merger Fund (MERFX)					Sold	06/12/14	L	B	
31. Oppenheimer International Bond A (OIBAX)	A	Int./Div.	K	T					
32. Oppenheimer International Bond A (OIBAX)					Sold	06/12/14	L		
33. Oppenheimer International Bond A (OIBAX)					Buy	11/20/14	K		
34. Oppenheimer Developing Markets A (ODMAX)	A	Int./Div.	K	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Oppenheimer SteelPath MLP Select 40 (MLPFEX)	B	Dividend	K						
36. Pimco Foreign Bond (PFUAX)	B	Dividend	K	T					
37. Pimco Foreign Bond (PFUAX)					Buy	06/12/14	L		
38. Pimco Foreign Bond (PFUAX)					Sold (part)	10/17/14	J		
39. Prudential Global Real Estate (PURAX)	A	Dividend	J	T					
40. Prudential Global Real Estate (PURAX)					Buy	06/12/14	J		
41. Schwab International Equity ETF (SCHF)	B	Dividend	K	T					
42. Schwab International Equity ETF (SCHF)					Buy	11/20/14	K		
43. Undiscovered Managers Behavioral Value (UBVAX)	A	Int./Div.	K	T					
44. Undiscovered Managers Behavioral Value (UBVAX)					Buy	06/12/14	K		
45. Undiscovered Managers Behavioral Value (UBVAX)					Buy (add'l)	06/12/14	K		
46. Undiscovered Managers Behavioral Value (UBVAX)					Sold	11/20/14	K	A	
47. Vanguard FTSE Developed Markets ETF (VEA)	B	Int./Div.	L	T					
48. Vanguard FTSE Developed Markets ETF (VEA)					Buy	06/12/14	J		
49. Vanguard FTSE Developed Markets ETF (VEA)					Buy (add'l)	07/09/14	L		
50. Vanguard FTSE Developed Markets ETF (VEA)					Buy (add'l)	10/17/14	J		
51. Vanguard FTSE Developed Markets ETF (VEA)					Sold (part)	11/20/14	K		

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52. Vanguard Mid-Cap Value ETF (VOE)	A	Int./Div.	K	T					
53. Vanguard Mid-Cap Value ETF (VOE)					Buy	06/12/14	K		
54. Vanguard Mid-Cap Growth ETF (VOT)	A	Int./Div.	J	T					
55. Vanguard Mid-Cap Growth ETF (VOT)					Buy	06/12/14	J		
56. Vanguard Mid-Cap Growth ETF (VOT)					Buy (add'l)	10/17/14	J		
57. Vanguard Mid-Cap Growth ETF (VOT)					Sold	11/20/14	K	B	
58. Vanguard Growth ETF (VUG)	B	Dividend	L	T					
59. Vanguard Growth ETF (VUG)					Buy	06/12/14	L		
60. Vanguard Value ETF (VTI)	B	Int./Div.	L	T					
61. Vanguard Value ETF (VTI)					Buy	06/12/14	L		
62. Wells Fargo Short Term High Yield (SSTHX)	C	Int./Div.	L	T					
63. Wells Fargo Short Term High Yield (SSTHX)					Buy	06/12/14	L		
64. Wells Fargo Short Term High Yield (SSTHX)					Sold	06/12/14	L	A	
65.									
66.									
67.									

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

Note: Mutual fund PNVAX was sold in 2013. Total position less than \$7,000. Realized gains less than \$1,000.

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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/ **Joan N. Ericksen**

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
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Washington, D.C. 20544