

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) Brisbois, Leo L.	2. Court or Organization District Court - Minnesota	3. Date of Report 05/13/2014
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 01/01/2013 to 12/31/2013
7. Chambers or Office Address 515 W. First St. Room 412 Duluth, MN 55802		
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. Executive Committee Member	National Conference of Federal Trial Judges, Judicial Division, American Bar Association
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. 1991	Retirement Plan with former law firm; 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.)*

<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. 2013	Northern Bridges; employee wages
2. 2013	MEDICA; employee wages
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. American Bar Association	February, 2013	Houston, TX	Attend NCFTJ Exec. Committee 2013 Mid-Year Mtg.	Partial lodging and travel
2. American Bar Association	August, 2013	San Francisco, CA	Attend NCFTJ Exec. Committee 2013 Annual Mtg.	Partial lodging and travel
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.)*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.

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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. Wells Fargo	A	Interest	K	T					
2. TruStone Financial	A	Interest	L	T					
3. US Analyst Strategy		None	K	T					
4. WT Mid Cap Opps		None	K	T					
5. Vang Inst Index Plus		None	K	T					
6. Main Stay Balanced Fund (Class 1)		None	K	T					
7. Fid Freedom 2030		None	L	T					
8. Fid Freedom 2035		None	J	T					
9. The Growth Fund of America-A		None	J	T					
10. The Investment Company of America -A		None	J	T					
11. Capital World Growth and Income Fund-A		None	J	T					
12. Invesco Charter Fund-B		None	J	T					
13. Invesco Mid Cap Core Equity Fund-B		None	J	T					
14. Invesco Charter Fund-A		None	J	T					
15. Invesco American Franchise Fund-A		None	J	T					
16. Invesco American Franchise Fund-B		None	J	T					
17. Invesco Global Growth Fund-A		None	J	T					

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		

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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 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. Invesco Global Growth Fund-B		None	J	T					
19. Invesco Mid Cap Core Equity Fund-A		None	J	T					
20. ING Retirement Conservative Portfolio-A		None	M	T					
21. Schwab S&P 500 Index FD		None	J	T					
22. Fundamental Investors SM(F-1) (American Funds) - 7109					Buy	05/09/13	K	A	
23. ING Russell TM Large Cap Value Index Portfolio (S)-2711					Buy	05/09/13	J	A	
24. Fidelity Advisor New Insights Fund (T)-2170					Buy	05/09/13	K	A	
25. ING Baron Growth Portfolio - Adviser Class-442					Buy	05/09/13	J	A	
26. ING JP Morgan Mid-Cap Value Portfolio (A)-441					Buy	05/09/13	J	A	
27. ING Russell TM Small Cap Index Portfolio (A)-1502					Buy	05/09/13	J	A	
28. EuroPacific Growth Fund (F-1) (American Funds)-2035					Buy	05/09/13	J	A	
29. ING Templeton Foreign Equity Portfolio (A)-1587					Buy	05/09/13	J	A	
30. ING Intermediate Bond Portfolio (A)-8479					Buy	05/09/13	J	A	
31. Loomis Sayles Strategic Income Fund - Class A-1938					Buy	05/09/13	K	A	

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

Part VII, Line 3 - Change within [REDACTED] 401K former employer savings plan from EB Diversified Stock to US Analyst Strategy.

Part VII, Line 9 - Change within [REDACTED] Roth IRA from the Growth Fund of America-B to the Growth Fund of America-A.

Part VII, Line 10 - Change within [REDACTED] Roth IRA from the Investment Company of America-B to the Investment Company of America-A.

Part VII, Line 11 - Change within [REDACTED] Roth IRA from Capital World Growth and Income Fund-B to Capital World Growth and Income Fund-A.

Part VII, Line 15-16 - Changes within [REDACTED] Invesco Mutual Fund from Invesco Constellation Fund-Class A to Invesco American Franchise Fund-Class A and from Invesco Constellation Fund-Class B to Invesco American Franchise Fund-Class B.

Part VII, Lines 22-31 - new due to rollover of former profit-sharing blind trust controlled by former employer into ING mutual fund custodial account 5/9/13.

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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/ **Leo I. Brisbois**

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
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