

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Fisher, William J.	2. Court or Organization District of Minnesota	3. Date of Report 06/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 232 Warren E. Burger Federal Building and US Courthouse 316 North Robert Street St. Paul, MN 55101		
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.		
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.	

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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. 2016	State of Minnesota - judge (Pre - bankruptcy judge appointment 1/1/16-5/31/16)	\$74,802.50
2. 2016	State of Minnesota (teaching at Metro State University two semesters - one pre-appointment)	\$11,408.00
3. 2016	Mitchell Hamline Law School (pre-appointment)	\$6,400.00
4. 2016	Weddings performed pre-appointment (before 6/1/2016)	\$1,640.00

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. 2016	US Bank National Association
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. National Association of Bankruptcy Judges	10/26/2016-10/29/2016	San Francisco	lodging for conference	lodging - partial payment
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.	US Bank	credit cards	K
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. Powershares QQQ trust (QQQ)	A	Dividend			Sold	05/20/16	J	A	
2. Schwab Markettrack All (SWEEX)	A	Dividend	K	T					
3. SPDR Dow Jones (DIA)	D	Dividend	N	T					
4. Altria Group Inc. (MO)	B	Dividend	K	T					
5. Donaldson Company (DCI)	A	Dividend	J	T					
6. Kraft Heinz Company (KHC)	A	Dividend	J	T					
7. McDonald's Corp. (MCD)	A	Dividend	K	T					
8. Mondolez (MDLZ)	A	Dividend	K	T					
9. Microsoft Corp (MSFT)	A	Dividend			Sold	05/20/16	J	A	
10. Nokia Corp. (NOK)	A	Dividend			Sold	05/20/16	J	A	
11. Pfizer Incorporated (PFE)	B	Dividend	L	T					
12. Phillip Morris International (PM)	C	Dividend	L	T					
13. US Bancorp (USB)	A	Dividend			Sold (part)	11/01/16	J		
14.					Sold	11/25/16	J		
15. Schwab S and P 500 Index Fund FD (SWPPX)		None	J	T	Buy	12/22/16	J		
16. 401K (H)									
17. - Vanguard Institutional Index (VBTIX)	E	Dividend			Sold	5/18/16	O		

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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18. -T Rowe Price Short Term Bond (PRWBX)	A	Dividend			Sold	5/18/16	J		
19. IRA (H)									
20. - Nuveen Equity Value Index Fund	B	Dividend			Sold	12/08/16	L		
21. - Pace Mortgage Backed Securities Income	A	Dividend			Sold	12/08/16	J		
22. Health Savings Account (H)									
23. - Money Market Account	A	Interest	J	T					
24. Individual Retirement Account Plan (H)									
25. - Vanguard Institutional Index Plus	A	Dividend	K	T					
26. IRA (H)									
27. - Putnam International Equity Class A	A	Dividend	J	T					
28. - Putnam Voyager Class A n/k/a Putnam Growth Oppty	A	Dividend	J	T					
29. - Columbia Seligman Global Technology Fund Class A (HGTX)	A	Dividend	J	T					
30. - Columbia Select International Equity Fund Class A (NIAX)	A	Dividend	J	T					
31. - Columbia Large Cap Growth Fund Class A (LEGAX)	A	Dividend	J	T					
32. - Columbia Mid Cap Growth Fund Class A (CBSAX)	A	Dividend	J	T					
33. 401K (H)									
34. - Vanguard Target Retirement 2025 Retirement Plus		None	N	T					

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35. IRA (H)									
36. - First American Class Prime Obligations	A	Dividend	J	T					
37. - Eaton Vance Funds Greater China Growth Fund	A	Dividend	J	T					
38. IRA (H)									
39. - Schwab S and P 500 Index FD (SWPPX)	A	Interest			Buy	5/20/16	O		
40.					Sold	10/26/16	P1		
41. Charles Schwab Bank (bank account)	A	Interest	N	T					
42. Bank of America (bank account)	A	Interest	K	T					
43. US Bank (bank accounts)	A	Interest	M	T					
44. Mass Mutual (whole life insurance)	A	Dividend	J	T					
45. Phoenix Insurance (whole life insurance)	A	Distribution			Distributed	5/11/16	K	E	
46.									

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

1. As to the 401k listed on line 33 of Part VII, my wife was told there were no dividends by the plan administrator.
2. The weddings listed in Part IIIA were performed while serving as state court judge as permitted by state law.
3. As to the Money Market account listed on line 22 of Part VII, it is assumedly FDIC insured as the state administrator cannot identify a specific money market.
4. Sales dates in Part VII are in some instances approximations based on when funds were received.
5. Line 28 in Part VII reflects one fund merging into or replacing the previous fund.

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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/ **William J. Fisher**

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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