

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Ridgway, Michael E.	2. Court or Organization United States Bankruptcy Court	3. Date of Report 10/22/2013
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 01/01/2012 to 09/30/2013
7. Chambers or Office Address United States Bankruptcy Court United States Courthouse 300 South Fourth Street, Suite 7W 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.		
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 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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.

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.)*

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. Exempt

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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.	Exempt		
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.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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. Northwestern Mutual Life Ins. - Adjustable Comp. Life	A	Dividend	J	T	Exempt				
2. Northwestern Mutual Life Ins. - Extraordinary Life	A	Dividend	K	T					
3. Northwestern Mutual IRA		None	J	T					
4. -- Select Bond (Mason Street Advisors)		None	J	T					
5. Brokerage # 1 (Merrill Lynch)									
6. -- FIA Card Services, N.A. (Bank of America)	A	Interest	J	T					
7. -- Calamos Growth Fund CL 1 (CGRIX)		None	J	T					
8. -- Keeley Small Cap Value Fund CL A (KSCVX)	A	Dividend	K	T					
9. -- Oppenheimer Developing Markets FD CL Y (ODVYX)		None	J	T					
10. -- Putnam Investors FD CL Y (PNVYX)	A	Dividend	J	T					
11. -- Thornburg LTD Term Inc. FD CL 1 (THIX)	A	Dividend	K	T					
12. -- Neuberger Berman Equity, Inc. Fund (NBHIX)	A	Dividend	K	T					
13. -- Hennessy Focus Fund (HFCIX)		None	J	T					
14. -- First Eagle Global Fund, Class I (SGHIX)	A	Dividend	K	T					
15. Brokerage # 2 (IRA) (Merrill Lynch)									
16. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	K	T					
17. -- HSBC HLDGS PLC Pref. Stock	A	Dividend	J	T					

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 L = \$50,001 - \$100,000
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	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 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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. -- Wells Fargo & Co., New Series J Pref. Stock	A	Dividend	J	T					
19. -- Alliance Bernstein Global Bond Fund, CL (ANAYX)	A	Dividend	J	T					
20. -- American Fund Global Balanced Fund CL F2 (GBLFX)	A	Dividend	K	T					
21. --DWS Enhanced Commodity Strategy Fund CL S (SKSRX)		None	J	T					
22. -- FidelityADV DIV INTL 1 (FDVIX)		None	J	T					
23. -- John Hancock Classic Value Fund CL 1 (JCVIX)		None	K	T					
24. -- Principal Preferred Securites Fund CL P (PPSPX)	A	Dividend	K	T					
25. -- Principal Global Diversified, Inc. Fund (PGDPX)	A	Dividend	K	T					
26. -- RS Global Natural Resources Fund CL Y (RSNYX)		None	J	T					
27. --SunAmerica Senior Floating Rate Fund CL A (SASFX)	A	Dividend	J	T					
28. --Thornburg LTD Term Inc. FD CL 1 (THIIX)	A	Dividend	K	T					
29. -- Eaton Vance Atlanta Capital - SMID (EISMX)		None	K	T					
30. -- Nuveen Preferred Securities (NPSRX)	A	Dividend	K	T					
31. -- Oppenheimer Developing Markets FD CL Y (ODVYX)		None	K	T					
32. -- Oppenheimer Rising Dividends (OYRDX)	A	Dividend	K	T					
33. -- JP Morgan Chase & Co. CLD, Pref. Stock, Series J									
34. -- Brandywine Blue Fund									

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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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. Brokerage # 3 (ROTH IRA) (Merrill Lynch)									
36. -- FIA Card Services NA, RASP (Bank of America)	A	Interest	J	T					
37. -- Putnam FD for Growth & Income FD CL Y (PGIYX)	A	Dividend	J	T					
38. -- Putnam Multi Cap. Growth Fund CL Y (PNOYX)		None	J	T					
39. --Delaware Value Fund INSTL CL (DDVIX)	A	Dividend	J	T					
40. -- Oppenheimer Developing Markets FD CL Y (ODVYX)		None	J	T					

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 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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

The undersigned is mindful of the instructions (issued January 2013) at page 45 regarding the requirement to include "reportable income." Accordingly, it should be noted that no "reportable income" was attributable to the respective funds listed on the following lines of Part VII: 3,4,7,9, 13, 21-23, 26, 29,31, 33, 34, 38, & 40.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Ridgway, Michael E.

Date of Report

10/22/2013

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/ Michael E. Ridgway**

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