

FINANCIAL DISCLOSURE REPORT
INITIAL FILINGReport Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Bowbeer, Hildy	2. Court or Organization USDC - District of Minnesota	3. Date of Report 12/12/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge - full time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 07/23/2014
7. Chambers or Office Address Warren E. Burger Federal Building and U.S. Courthouse Suite 632 316 N. Robert St. 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.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Member, Board of Directors	Minnesota Continuing Legal Education
2.	Vice-President and President, Board of Directors	Emma Norton Services
3.	Assistant Chief Intellectual Property Counsel	3M Innovative Properties Company
4.	Trustee	Trust #1
5.	Trustee	Trust #2

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. 1997-2014	3M Company Pension Plan - former employer, no control other than to specify when pension payments will start; intend to recuse from all 3M matters before Court
2. 1997-2014	3M Company Long Term Incentive Plan (stock options and Restricted Stock Units) - former employer; options and RSUs already granted will vest over time
3. 2014	3M Company variable compensation component of salary - will receive a pro-rated payment in February 2015 based on company's performance during 2014

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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. 2012	3M Innovative Properties Company - salary and long term incentive compensation for services rendered as in-house attorney (applies to all 3M items)	\$592,706.00
2. 2013	3M Innovative Properties Company - salary and long term incentive compensation	\$556,527.00
3. 2014	3M Innovative Properties Company (through June 22, 2014) - salary and long term incentive compensation	\$347,814.22
4. 2012	New Harbinger Publishing Company - book royalties for books written by [REDACTED] (description applies to all royalties)	\$3,170.00
5. 2013	New Harbinger Publishing Company - book royalties	\$2,552.00
6. 2014	New Harbinger Publishing Company - book royalties	\$952.12

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.	
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. EXEMPT				
2.				
3.				

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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.	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.			

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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. US Bank Checking Account	A	Interest	M	T	Exempt				
2. Fidelity Individual Account (Money Market)	A	Interest	K	T	Exempt				
3. 3M Company Stock (common)	D	Dividend	N	T	Exempt				
4. 3M Company Restricted Stock Units (unvested)		None	M	T	Exempt				
5. 3M Company VIP Excess deferred compensation account (company managed)		None	N	T	Exempt				
6. 3M Company Medical Savings Account	A	Interest	J	T	Exempt				
7. 3M Company Stock Options		None	P1	T	Exempt				
8. Rental property, Marco Island, Florida (purchase price \$412,000)	E	Rent	N	R	Buy	02/15/13	N		Michael and Holly Rennie
9. Brokerage Acct (Northwestern Mutual) (Assets listed below)									
10. - DREYFUS GENERAL MNY MKT FUND CL B	A	Interest	J	T	Exempt				
11. - RUSSELL TAX-MANAGED U.S. MID & SMALL CAP FUND CLASS S		None	K	T	Exempt				
12. - RUSSELL TAX MANAGED U.S. LARGE CAP FUND CLASS S		None	M	T	Exempt				
13. - RUSSELL EMERGING MARKETS FUND CL S		None	K	T	Exempt				
14. - RUSSELL GLOBAL REAL ESTATE SECURITIES FUND CLASS S	A	Int./Div.	K	T	Exempt				
15. - RUSSELL TAX EXEMPT BOND FUND CLASS S	A	Int./Div.	M	T	Exempt				
16. - RUSSELL INT'L DEVELOPED MARKETS FUND CLASS S		None	L	T	Exempt				
17. Northwestern Mutual Life Insurance Policies	E	Dividend	N	T	Exempt				

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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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)

18. Alliance Bernstein Collegebound Fund Balanced Portfolio Class C (\$29)		None	K	T	Exempt				
19. Trust #2 (Assets listed below)									
20. - RBC Prime Market Money Fund	A	Int./Div.	J	T	Exempt				
21. - Franklin Income Money Fund	B	Dividend	K	T	Exempt				
22. - Pimco Low Duration Mutual Fund	A	Dividend	J	T	Exempt				
23. - Templeton Foreign Mutual Fund	A	Dividend	J	T	Exempt				
24. - Thornburg Investment Income Mutual Fund	A	Dividend	J	T	Exempt				
25. - BMO Harris Bank - checking acct and CD	A	Interest	J	T	Exempt				
26. Bowbeer IRA - RBC Dain Rauscher (Assets listed below)									
27. - RBC Cash and Federated Money Market Fund	A	Interest	K	T	Exempt				
28. - Alliance Bernstein Bond Mutual Fund	A	Dividend			Exempt				
29. - Alliance Bernstein Unconstrained Mutual Fund		None	L	T	Exempt				
30. - Brandes Emerging Markets Mutual Fund	B	Dividend	L	T	Exempt				
31. - Cullen High Dividend Equity Mutual Fund	B	Dividend			Exempt				
32. - Dogde & Cox Stock Mutual Fund	B	Dividend	M	T	Exempt				
33. - Driehaus Select Credit Mutual Fund	A	Dividend	L	T	Exempt				
34. - DWS Floating Rate Mutual Fund	C	Dividend			Exempt				

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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	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	
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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)
35. - FundVantage WHV Int'l Equity Mutual Fund	A	Dividend			Exempt				
36. - JP Morgan Strategic Income Opportunities Mutual Fund	B	Dividend	L	T	Exempt				
37. - Mairs & Power Growth Mutual Fund	C	Dividend	M	T	Exempt				
38. - Matthews Asian Growth & Income Mutual Fund	A	Dividend			Exempt				
39. - MFS Growth Mutual Fund	A	Dividend	M	T	Exempt				
40. - MFS SER TR X International Mutual Fund	A	Dividend	L	T	Exempt				
41. - Mutual Series European Mutual Fund	C	Dividend			Exempt				
42. - Oakmark Global Select Mutual Fund	B	Dividend	M	T	Exempt				
43. - Pioneer Multi Asset Mutual Fund		None	K	T	Exempt				
44. - Principal FDS Mutual Fund	A	Dividend			Exempt				
45. - TCW FDS Mutual Fund	B	Dividend			Exempt				
46. - Templeton Emerging Markets Mutual Fund	A	Dividend	K	T	Exempt				
47. - Templeton Global Bond Mutual Fund	C	Dividend	K	T	Exempt				
48. - Thornburg INVT TR Mutual Fund	C	Dividend	M	T	Exempt				
49. - Vanguard Index Mutual Fund	A	Dividend			Exempt				
50. - Wells Fargo Absolute Return Mutual Fund		None	M	T	Exempt				
51. - HSBC Holdings PLC Common Stock	A	Dividend			Exempt				

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52. - Hennes & Mauritz AB Common Stock	A	Dividend			Exempt				
53. - Kingfisher PLC Common Stock	A	Dividend			Exempt				
54. - LVMH Moet Hennessy Louis Common Stock	A	Dividend			Exempt				
55. - Michelin Generale Common Stock	A	Dividend			Exempt				
56. - Nestle SA Common Stock	A	Dividend			Exempt				
57. - Novartis Common Stock	A	Dividend			Exempt				
58. - Novo Nordisk Common Stock	A	Dividend			Exempt				
59. - Toyota Corp Common Stock	A	Dividend			Exempt				
60. - Abbot Laboratories Common Stock	A	Dividend			Exempt				
61. - Coca Cola Company Common Stock	A	Dividend			Exempt				
62. - Colgate Palmolive Common Stock	A	Dividend			Exempt				
63. - General Electric Common Stock	A	Dividend			Exempt				
64. - Mondelez International Commo Stock	A	Dividend			Exempt				
65. - Monsanto Common Stock	A	Dividend			Exempt				
66. - Occidental Pete Common Stock	A	Dividend			Exempt				
67. - Pepsico Common Stock	A	Dividend			Exempt				
68. - Philip Morris Common Stock	A	Dividend			Exempt				

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69. - Proctor & Gamble Stock	A	Dividend			Exempt				
70. - Qualcomm Common Stock	A	Dividend			Exempt				
71. - Sanofi Common Stock	A	Dividend			Exempt				
72. - United Parcel SVC Common Stock	A	Dividend			Exempt				
73. - Wells Fargo Common Stock	A	Dividend			Exempt				
74. - CA Inc. Common Stock	A	Dividend			Exempt				
75. - Century Link Common Stock	A	Dividend			Exempt				
76. - Microsoft Corp Common Stock	A	Dividend			Exempt				
77. - Pfizer Common Stock	A	Dividend			Exempt				
78. - Sanofi Sponsored ADR Common Stock	A	Dividend			Exempt				
79. Brokerage Account (RBC) (Assets listed below)									
80. - RBC Money Market Bank Deposit Program	A	Interest	K	T	Exempt				
81. - Alliance Bernstein Bond Mutual Fund	A	Dividend			Exempt				
82. - Alliance Bernstein Unconstrained Bond Mutual Fund		None	K	T	Exempt				
83. - AQR Managed Futures Strategy Mutual Fund	A	Dividend			Exempt				
84. - Brandes International Equity Mutual Fund		None	K	T	Exempt				
85. - Brandes Emerging Markets Mutual Fund	A	Dividend	K	T	Exempt				

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86. - Cullen High Dividend Equity Mutual Fund	A	Dividend			Exempt				
87. - Dodge & Cox Stock Mutual Fund	A	Dividend	K	T	Exempt				
88. - Driehaus Mutual Fund	A	Dividend	K	T	Exempt				
89. - DWS Portfolio Mutual Fund	B	Dividend			Exempt				
90. - Eaton Vance Floating Rate Mutual Fund	A	Dividend			Exempt				
91. - JP Morgan TR Mutual Fund	B	Dividend	J	T	Exempt				
92. - Loomis Sayles Strategic Income Mutual Fund	A	Dividend			Exempt				
93. - Mairs & Power Growth Mutual Fund	B	Dividend	L	T	Exempt				
94. - Matthews Asian Growth & Income Mutual Fund	A	Dividend	P1		Exempt				
95. - MFS Growth Mutual Fund	A	Dividend	L	T	Exempt				
96. - MFS SER TR X International Mutual Fund	A	Dividend	K	T	Exempt				
97. - Mutual Series Fund Inc. Mutual Fund	B	Dividend			Exempt				
98. - Nuveen INVT FDS Minn Mutual Fund	A	Dividend			Exempt				
99. - Oakmark Global Select Mutual Fund	B	Dividend	L	T	Exempt				
100. - Pioneer Multi Asset Mutual Fund		None	K	T	Exempt				
101. - Principal FDS Mutual Fund	A	Dividend			Exempt				
102. - TCW FDS Mutual Fund	A	Dividend			Exempt				

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103. - Templeton Emerging Markets Mutual Fund	A	Dividend	K	T	Exempt				
104. - Templeton Global Bond Market Fund	B	Dividend	K	T	Exempt				
105. - Thornburg INVT TR Mutual Fund	C	Dividend	K	T	Exempt				
106. - Vanguard Index Mutual Fund	A	Dividend			Exempt				
107. - Wells Fargo Absolute Return Mutual Fund		None	K	W	Exempt				

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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	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	

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Bowbeer, Hildy

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

In Section I, line 4, the Kristin Metz Supplemental Needs trust is minimally funded (approx. \$400 in an account at US Bank) until my death, at which time the portion of my assets designated for her will flow into the trust.

In Section VII, line 4, the value depicted for the 3M Company Restricted Stock Units (unvested) is based on the market price of the stock at the time the report was created. Any vested RSUs are distributed to the individual stock account, which is reported in line 3.

In section VII, line 5, the value of the 3M qualified pension plan is an estimate. It is a defined benefit plan and I do not have access to information about the present value of that income stream, nor to information about "income" generated by that plan, as I have not yet begun taking the pension and its value to me will depend on when I start taking it and how long I live.

In section VII, line 6, the nonqualified portion of the 3M pension plan was paid to me after the reporting date, so will be reported as income on my next report. As noted above, I do not have access to information about "income" generated by that plan prior to the payout of the lump sum to me.

In section VII, line 7, the VIP Excess account does not generate interest or dividends - all gains are reflected in the increase in the value of the account.

In Section VII, various lines, where Column B(2) shows "None" for income, it is because the asset was purchased shortly before the end of the reporting period and no income had yet been realized.

In Section VII, line 20, the CollegeBound fund is a 529 plan that does not report dividends or interest. All gains are reflected in the increase in the value of the account.

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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/ **Hildy Bowbeer**

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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