

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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) MONTGOMERY, ANN D.	2. Court or Organization U.S. DISTRICT COURT - MN	3. Date of Report 05/1/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address 13W U.S. 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. Insert signature on last page.		

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. 1994	Minnesota State (Judges) Retirement System
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. 2011	Minnesota State Retirement System	\$9,954.00
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. 2011	Arthur, Chapman, Kettering, Smetak & Pikala Law Firm
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. American Law Institute/ American Bar Association	July 28 - 30, 2011	Santa Fe, NM	ALI-ABA Current Developments in Employment Law Conf.	Transportation, lodging, meals
2. American Bar Association	November 2 - 5, 2011	Seattle, WA	ABA 5th Annual Labor & Employment Law Conf.	Transportation, lodging
3. American Conference Institute	December 5 - 7, 2011	New York, NY	ACT's 16th Annual Drug & Medical Device Litigation Conf.	Transportation, lodging
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.)*

	<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 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. US Bancorp	A	Interest	J	T					
2. Nortech System - Common Stock	A	Dividend	J	T					
3. 1/4 Interest in farm land in Meeker County, MN	A	Rent	L	S					
4. Trans America Annuity		None	L	T					
5. PIMCO Total Return - IMCO	B	Dividend	K	T					
6. Prudential Natural Resources - Prudential	A	Dividend	K	T					
7. Blackrock Global Allocation - Blackrock	A	Dividend	K	T					
8. First Eagle Global Fund - First Eagle	A	Dividend	K	T					
9. Ivy Asset Strategy - IVY	A	Dividend	K	T					
10. Blackrock Global Allocation - IRA - Blackrock	A	Dividend	K	T					
11. Prudential Natural Resources - IRA - Prudential	A	Dividend	K	T					
12. Ivy Asset Strategy - IRA - IVY	A	Dividend	K	T					
13. First Eagle Global Fund - IRA - First Eagle	A	Dividend	K	T					
14. PimcoTotal Return - IRA - PIMCO	B	Dividend	K	T					
15.									
16.									
17.									

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	

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

Section II: I have a deferred pension benefit plan with the Minnesota State Judicial Retirement System. In past years, I have been reporting it consistently under Section VII rather than Section II. I elected to receive my deferred benefit monthly beginning in July 2011. I have now been advised it is more appropriately considered a Section II agreement so it is reported there and the amount received in Section III.

Section VII: No. 3 - Item 3 is real estate owned in common [REDACTED] The assessed tax value is approximately \$80,000; the current value may actually be less than that but my share, in any event, would be less than \$20,000.

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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/ ANN D. MONTGOMERY

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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