

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) Erickson, Ralph R.	2. Court or Organization District of North Dakota	3. Date of Report 06/05/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Judge--Active	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 Quentin Burdick US Courthouse 655 1st Ave. N., Ste. 410 Fargo, ND 58102-4952		
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.	Trustee	Trust #1
2.	Director	Sharehouse Foundation, Fargo, ND
3.	Director	Federal Judges Association
4.		
5.		

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. 1/15/88	401K Ohnstad Twichell, P.C.
2. 2/15/93	NDPERS County Retirement Plan
3. 1/02/05	NDPERS State Judicial Retirement Plan
4. 12/31/96	457(b) Plan State of North Dakota

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 12/31/2016

Self-employed Optometrist

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED1. North Dakota State Roundup-
AA

09/16-18-2016

Medora, ND

Speak at Annual Meeting

Lodging, Mileage

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.)*

<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. AWSHX	A	Dividend	K	T					
2. Intel, Inc., common stock	A	Dividend	J	T					
3. Alcatel Lucent common stock		None							
4. Nokia	A	Dividend	J	T	Spinoff (from line 3)	01/14/16	J	A	
5. Oakmark Select, mutual fund	A	Dividend	J	T					
6. Proctor & Gamble, common stock	A	Dividend	J	T					
7. Wells Fargo & Co., common stock	A	Dividend	J	T					
8. VMMXX Bell State Bank & Trust 401k	A	Dividend	K	T					
9. Voya 457(b) VP Index Plus Large Cap.	B	Int./Div.	K	T					
10. Voya 457(b) Fidelity VIP Growth Portfolio 109	A	Int./Div.	K	T					
11. Voya 457(b) T.Rowe Price MC Gr-Init-449	A	Int./Div.	K	T					
12. ING Aetna 457(b) Oppenheimer Global Pt-Init-432	A	Int./Div.	K	T					
13. Gate City Savings--Savings Account	A	Interest	K	T					
14. Digital Broadcast Corporation		None	J	W					
15. Guardian Insurance Trust #1 mixed whole/term life	C	Dividend	N	T					
16. Guardian Insurance (Whole Life Cash Value)	E	Dividend	M	T					
17. Guardian Insurance (Whole Life Cash Value)	D	Dividend	M	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 \$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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☐ 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. Guardian Insurance (Whole Life Cash Value)	C	Dividend	L	T					
19. Guardian Insurance (Whole Life Cash Value)	B	Dividend	L	T					
20. Jackson National Life (Life Insurance cash value)	B	Interest	K	T					
21. Allianz Life (Life Ins. cash value)	A	Dividend	J	T					
22. Allianz Life (Life Ins. cash value)	A	Dividend	J	T					
23. Assets in SEP at Alerus Financial									
24. Alerus Financial MMKT	A	Interest	J	T					
25. FTRBX	B	Dividend			Sold	04/28/16	L	A	
26. DFSVX	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
27.					Buy (add'l)	07/20/16	J		
28. VSGAX	A	Dividend	J	T	Buy (add'l)	01/25/16	J		
29.					Sold (part)	07/20/16	J	A	
30. FZAIX	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
31.					Buy (add'l)	04/22/16	J		
32.					Sold (part)	09/20/16	J	A	
33. VFIAX	D	Dividend	N	T	Buy (add'l)	01/26/16	J		
34.					Buy (add'l)	04/22/16	J		

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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35.					Sold (part)	07/20/16	J	C	
36.					Buy (add'l)	09/20/16	J		
37.					Buy (add'l)	10/24/16	J		
38. DFCEX	A	Dividend	J	T	Buy	11/18/16	J		
39. PMZIX	A	Dividend	J	T	Buy (add'l)	04/22/16	J		
40.					Buy (add'l)	09/20/16	J		
41. DFWIX	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
42.					Sold (part)	07/12/16	J	A	
43.					Buy (add'l)	07/20/16	J		
44.					Buy (add'l)	09/20/16	J		
45.					Sold (part)	11/18/16	J	A	
46. AGDYX	A	Dividend	J	T	Sold (part)	04/05/16	J	A	
47.					Sold (part)	04/19/16	J	A	
48.					Buy (add'l)	04/22/16	J		
49. VGSLX	A	Dividend			Sold (part)	07/11/16	J	B	
50.					Sold	11/17/16	K	A	
51. IEF	A	Dividend	J	T	Buy (add'l)	09/23/16	J		

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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52. VCIT	A	Dividend	J	T	Buy (add'l)	04/07/16	J		
53.					Buy (add'l)	04/21/16	J		
54.					Sold (part)	07/25/16	J	A	
55.					Buy (add'l)	10/26/16	J		
56. CIVIX	A	Dividend	K	T	Buy (add'l)	01/25/16	J		
57.					Buy (add'l)	04/22/16	J		
58.					Buy (add'l)	07/20/16	J		
59.					Sold (part)	09/20/16	J		
60. BAGIX	B	Dividend	L	T	Buy	04/28/16	L		
61.					Buy (add'l)	07/20/16	J		
62.					Buy (add'l)	09/20/16	J		
63. JMMSX		None	K	T	Buy	07/11/16	J		
64.					Buy (add'l)	07/12/16	J		
65.					Buy (add'l)	07/20/16	J		
66.					Buy (add'l)	09/20/16	J		
67.					Sold (part)	11/07/16	K	A	
68.					Buy (add'l)	11/17/16	J		

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

8Part VII, Line 3. Nokia acquired Alcatel/Lucent effective January 14, 2016.

Part VII, Line 14. Digital Broadcast Company ceased operations a number of years ago and the stock has no value.

Part VII, Line 15. Mixed Whole/Term Life Policy. Policy No. XXXX128. All cash held in Guardian's general account. No investment options.

Part VII, Line 16. Whole Life Policy. Policy No. XXXX296. All cash held in Guardian's general account. No investment options.

Part VII, Line 17. Whole Life Policy. Policy No. XXXX141. All cash held in Guardian's general account. No investment options.

Part VII, Line 18. Whole Life Policy. Policy No. XXXX246. All cash held in Guardian's general account. No investment options.

Part VII, Line 19. Whole Life Policy. Policy No. XXXX128. All cash held in Guardian's general account. No investment options.

Part VII, Line 20. Variable Life Policy. Policy No. XXXXXXXX090. All cash held in Jackson's general account. No investment options.

Part VII, Line 21. Indexed Universal Life Policy. Policy No. XXXXX607. All cash held in Allianz's general account. No investment options.

Part VII, Line 22. Indexed Universal Life Policy. Policy No. XXXXX608. All cash held in Allianz's general account. No investment options.

Part VII, Line 28. Because of the way that the "Vanguard Small Cap Growth Index Fund Admiral Shares" (VSGAX) was reported on the quarterly and annual statements of the financial institution handling my spouses SEP I erroneously identified the holding as shares in "Vanguard Small Cap Growth Index Fund Investor Shares" (VISGX). When I recently asked for an interim holdings report to prepare documents for a nomination report the bank sent me a form with the ticker symbols on it and I recognized my error.

Part VII, Line 30. Because of the way that the "Fidelity Advisor International Discovery Fund Class Z" (FZAIX) was reported on the quarterly and annual statements of the financial institution handling my spouses SEP I erroneously identified the holding as shares in "Fidelity Advisor International Discovery Fund Class I" (FIADX). When I recently asked for an interim holdings report to prepare documents for a nomination report the bank sent me a form with the ticker symbols on it and I recognized my error.

Part VII, Line 38. Because of the way that the "DFA Emerging Markets Core Equity Portfolio Inst. Class" (DFCEX) was reported on the quarterly and annual statements of the financial institution handling my spouses SEP I erroneously identified the holding as shares in "DFA Emerging Markets Value Portfolio Inst. Class" (DFCEX). When I recently asked for an interim holdings report to prepare documents for a nomination report the bank sent me a form with the ticker symbols on it and I recognized my error.

Part VII, Line 63. When I recently asked for an interim holdings report to prepare documents for a nomination report the bank sent me a statement with ticker symbols on it and I realized I had made a typographical error in my report putting down "JMSX" instead of "JMMSX."

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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/ Ralph R. Erickson**

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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Washington, D.C. 20544