

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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) Leung, Tony N.	2. Court or Organization District Court - Minnesota	3. Date of Report 08/09/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address 342 U.S. Courthouse 316 N. 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Directors and Vice President	Twin Cities RISE!
2. Advisory Board Member	Wishes & More
3. Chairperson	Yale Alumni Schools Committee of Minneapolis
4. Advisory Board Member	Northern Star Council, BSA
5. Associate Board Directors	Lakewood Cemetery Association
6. Co-Vice President of Subcommittee	Minnesota Chapter of Federal Bar Association
7. Fellow	American Bar Foundation
8. Advisory Board Member	Minnesota National Asian Pacific American Bar Association

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. 2014	Minnesota State Judges Retirement Plan (NO CONTROL, pension plan), managed by Minnesota State Retirement System ("MSRS")
2. 2014	Minnesota Deferred Compensation Plan TNLwith Minnesota State Retirement System
3. 2014	Health Care Savings Plan with Minnesota State Retirement System

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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.)*

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. 2014

Special School District No. 1, Minneapolis, MN, salary

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. Decision Sciences Institute

Nov. 22 - 25, 2014

Tampa, FL

Keynote Speaker

Transportation, meals and hotel

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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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. Brokerage Account CS1									
2. -WR UNACX Adv Accumulative A	A	Dividend	K	T	Sold (part)	08/27/14	J	B	
3. -WR UNCGX Adv Intl Growth	A	Dividend	K	T	Sold (part)	08/27/14	J	A	
4. - WR UNVGX Adv Vanguard A	A	Dividend	L	T	Sold (part)	08/27/14	J	B	
5.					Sold (part)	09/26/14	J	B	
6.					Sold (part)	10/22/14	J	B	
7. -Cash and Schwab Money Market	A	Interest	J	T					
8. Brokerage Account CS2									
9. -Schwab Inflation SWRSX	A	Dividend	J	T					
10. -Cash and Schwab Money Market	A	Interest	J	T					
11. Brokerage Account CS3									
12. -JAVLX	A	Dividend	J	T					
13. -Schwab Inflation SWRSX	A	Dividend	J	T					
14. -Cash & Schwab Money Market	A	Interest	J	T					
15. Brokerage Account F1 Ind									
16. -Fidelity cash account	A	Interest	J	T					
17. -Fidelity Equity Income FEQIX	B	Dividend	L	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 = \$250,000,001 - \$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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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. -Fidelity MN Muni Income FIMIX	A	Interest	J	T	Sold (part)	08/27/14	J	A	
19. Brokerage Account F2 RI15									
20. -Fidelity cash account	A	Interest	K	T					
21. -Fidelity Blue Chip Growth FBGRX	A	Dividend	J	T					
22. -Spartan 500 Index FD Investor Class FUSVX	A	Dividend	J	T					
23. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
24. Brokerage Account F3 R77									
25. -Fidelity cash account	A	Interest	J	T					
26. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
27. Brokerage Account F4 KRTL R49									
28. -Fidelity cash account	A	Interest	J	T					
29. -Fidelity Select Tech FSPTX	A	Dividend	J	T					
30. -Wells Fargo Spec Tech Invt C1 WFTZX	A	Dividend	J	T					
31. Brokerage Account F5 IBDA 24									
32. -Fidelity cash account	A	Interest	J	T					
33. -Fidelity Equity Inc FEQIX	A	Dividend	J	T					
34. -Fidelity Equity Inc FEQIX	A	Distribution	J	T					

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Brokerage Account F6 I65									
36. -Fidelity cash account	A	Interest	J	T					
37. -Spartan 500 Index FD Investor Class FUSVX (formerly known as FUSEX)	A	Dividend	J	T					
38. -Fidelity Magellan FMAGX	A	Dividend	J	T					
39. Brokerage Account WR1 IBene 94									
40. -WR Advisor Vanguard A	A	Dividend	J	T					
41. -WR Advisor Vanguard A	A	Distribution	J	T					
42. Wells Fargo Bank Account 1 28	A	Interest	J	T					
43. Wells Fargo Bank Account 2 85	A	Interest	J	T					
44. Bangkok Bank Account (X)	A	Interest	J	T					
45. MN State Judges Retirement Plan (NO CONTROL, pension plan)		None	M	T					
46. MN State Deferred Comp Plan TNL with MSRS									
47. -Dodge & Cox Income	A	Int./Div.	K	T					
48. -Vanguard Balanced Index Inst	A	Dividend	K	T					
49. -Janus Twenty	A	Dividend	L	T					
50. -Vanguard Inst Index Plus	A	Dividend	L	T					
51. -Vanguard Mid Cap Index Inst	A	Dividend	K	T					

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52. -T Rowe Price Small Cap Stock	A	Dividend	K	T					
53. -Fidelity Diversified Intl	A	Dividend	K	T					
54. MN State Health Care Savings Plan with MSRS									
55. -Bond Fund (formerly known as ("FKA") the Bond Market Account)	A	Int./Div.	J	T					
56. -Balanced Fund (FKA, the Income Share Account)	A	Int./Div.	J	T					
57. -US Stock Index Fund (FKA, the Common Stock Account)	A	Dividend	J	T					
58. -US Stock Actively Managed Fund (FKA, the Growth Share Account)	A	Dividend	J	T					
59. -Broad International Stock Fund (FKA, International Share Account)	A	Dividend	J	T					
60. MN Teachers Retirement Assoc (NO CONTROL, pension plan)		None	L	T					
61. Mpls Teachers Deferred Comp VALIC									
62. -MFS Research A (FKA, the Davis NY Venture A)	A	Dividend	L	T					
63. Vangrd Windsor II Admiral (FKA, the Davis NY Venture A)	A	Dividend	K	T					
64. -Dreyfus Basic S&P 500 St	A	Dividend	K	T					
65. -Dreyfus MidCap Index	A	Dividend	L	T					
66. -Dreyfus Small Cap Stk Indx	A	Dividend	K	T					
67. -American Funds EuroPac R4	A	Dividend	L	T					
68. -Black Rock Intl Idx Fund	A	Dividend			Merged (with line 67)	10/29/14	K		

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69. Special School Dist Plan with Great Western Retirement Ser									
70. -Great-W' TR'Price Eqlnc (FKA, Great-West Ariel Small Cap Value Fund)	A	Dividend	J	T					
71. Great West Money Market (FKA, Great-West Ariel Small Cap Value Fund)	A	Interest	J	T					
72. -Great-West Small Cap Growth Fund I	A	Dividend	J	T					
73. -Alger Mid Cap Growth Portfolio 1-2	A	Dividend	J	T					
74. -Great-West Ariel Midcap Value Fund I	A	Dividend	J	T					
75. -Great-West T Rowe Price MidCap Growth Fund I	A	Dividend	J	T					
76. -Fidelity VIP Growth Portfolio	A	Dividend	J	T					
77. MN State Deferred Comp Plan KRT with MSRS									
78. -T Rowe Price Small Cap Stock	A	Dividend	J	T					
79. -Vanguard Total Intl Stock Index	A	Dividend	J	T					
80. -Vanguard Instl Index Plus	A	Dividend	J	T					
81. -Vanguard Balanced Index Inst	A	Dividend	J	T					
82. -Chengteh Chinaware (Thailand) Co	D	Dividend	J	U					
83. Zurich Medical Corp, note convertible to common stock, receivable		None	L	T	Buy	09/09/14	K		
84. Summit Brewing Company		None	J	T					

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

JAVLX (Janus Twenty mutual fund), Part VII, Line 12, was inadvertently omitted from my last report.

Davis NY Venture A was part of a selection of investment options provided by the fund manager. Once selected, the fund manager can replace the original selection without consulting with me. The fund manager some time in 2014 replaced Davis NY Venture A with MFS Research and Vangrd Windsor II Admiral.

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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/ **Tony N. Leung**

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