

Amended

AO-10 (WP)
Rev. 1/2004

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2003

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) Lay, Donald P.		2. Court or Organization U.S. Court of Appeals for the 8th Circuit		3. Date of Report Amended 7-13-2004	
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Senior Circuit Judge		5. Report Type (check appropriate type) ___ Nomination, Date ___ ___ Initial ___ Annual ___ Final		6. Reporting Period 1-1-03 to 12/31/03	
7. Chambers or Office Address 316 N. Robert Street, Room 560 St. Paul, Minnesota 55101		8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____			
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. Sign on last page.					

I. POSITIONS. (Reporting individual only; see pp. 9-13 of Instructions.)

POSITION	NAME OF ORGANIZATION/ENTITY
☒ NONE (No reportable positions.)	
1	
2	
3	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of Instructions.)

DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
1	
2	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME
A. Filer's Non-Investment Income		
☐ NONE (No reportable non-investment income.)		
1 3/10/03 to	Western State University, Anaheim CA	\$ 3,000.00
2 3/12/03	Jurist-in-residence program for students	\$
3		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

☒ NONE (No reportable non-investment income.)	
1	
2	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Donald P. Lay

Date of Report

Amended
7-13-04

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

☒

NONE (No such reportable reimbursements.)

1		
2		
3		
4		
5		
6		
7		

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts.)

1	Minneapolis Club, Minneapolis, MN	Honorary Membership	\$ 1200
2			\$
3			\$
4			\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

☐

NONE (No reportable liabilities.)

1	U.S. Bank, St. Paul, MN	Personal Loan	J
2			
3			
4			
5			

Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001-\$100,000; M=\$100,001-\$250,000; 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=\$50,000,001 or more.

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VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

1. Name of asset (including trust)	2. Income during reporting period		3. Cost or value at end of reporting period		4. Transactions during reporting period				
	(a) Code	(b) Type	(c) Value	(d) Method	(1) Buy/sell/redemption	(2) Date/Mod	(3) Value	(4) Gain/Loss	(5) Other
☐ NONE (No reportable income,									
1 Eureka Gardens	A	Int.	J	W					
2 General Mills	A	Div.	J	W	buy 10/1/03	J			
3 Starbucks	A	Div.	J	W	buy 2/4/03	J			
4 3-M	A	Div.	J	W	buy 10/1/03	J			
5 Alliant Techsystems	A	Div.	J	W	buy 2/4/03	J			
6 Alliant Techsystems	A	Div.			sell 6/26/03	J			
7 IBM	A	Div	J	W	buy 6/19/03	J			
8 IBM	A	Div	J	W	sell 6/10/03 & 7/15/03	J			PARTIAL
9 ADC Telecomm Inc.	A	Div			sell 6/10/03 & 8/19/03	J			
10 Medtronic	A	Div			sell 10/22/03	J			
11 INTEL	A	NONE	J	W					
12 Pfizer	A	Div	J	W					
13									
14									
15									
16									
17									

Income tax paid	A = \$1,000 or less	B = \$1,001 to \$5,000	C = \$5,001 to \$25,000	D = \$25,001 to \$50,000	E = \$50,001 to \$100,000	F = \$100,001 to \$500,000	G = \$500,001 to \$1,000,000	H = More than \$1,000,000
Value method	1 = Cost	2 = FIFO	3 = LIFO	4 = Specific	5 = HIFO	6 = Average	7 = Other	8 = None
Reporting period	1 = Calendar year	2 = Fiscal year	3 = Other	4 = None	5 = Other	6 = None	7 = Other	8 = None
Value method	1 = Cost	2 = FIFO	3 = LIFO	4 = Specific	5 = HIFO	6 = Average	7 = Other	8 = None
Reporting period	1 = Calendar year	2 = Fiscal year	3 = Other	4 = None	5 = Other	6 = None	7 = Other	8 = None

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Donald P. Lay

Date of Report

Amended
7-13-04**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS** (Indicate part of Report.)**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.

Sign 

Date

7-13-04

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.)

FILE INSTRUCTIONS

Mail signed original and additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-201
One Columbus Circle, NE
Washington, D.C. 20544

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FOR CALENDAR YEAR 2003

Report Required by the Ethics
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POSITION	NAME OF ORGANIZATION/ENTITY
☒ NONE (No reportable positions.)	
1	
2	
3	

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2004 MAY 10 P 12 10
FINANCIAL
DISCLOSURE OFFICE

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DATE	PARTIES AND TERMS
☒ NONE (No reportable agreements.)	
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2	

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE	SOURCE AND TYPE	GROSS INCOME
A. Filer's Non-Investment Income		
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B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)

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1
2

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IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION

☒

NONE (No such reportable reimbursements.)

1

2

3

4

5

6

7

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE

☐

NONE (No such reportable gifts.)

1

Minneapolis Club, Minneapolis, MN

Honorary Membership

\$ 1200

2

\$

3

\$

4

\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*

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Personal Loan

J

2

3

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N=\$250,001-\$500,000 O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000
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VII. Page 1 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

A. Description of Assets (including trust assets) <i>Place "X" after each asset exempt from prior disclosure.</i>	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	App. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 Eureka Gardens	A	Int.	J	W					
2 General Mills	A	Div.	J	W	buy 10/1/03		J		
3 Starbucks	A	Div.	J	W	buy 2/4/03		J		
4 3-M	A	Div.	J	W	buy 10/1/03		J		
5 Alliant Techsystems	A	Div.	J	W	buy 2/4/03		J		
6 Alliant Techsystems	A	Div.	J	W	sell 6/26/03		J		
7 IBM	A	Div	J	W	buy 6/19/03		J		
8 IBM	A	Div	J	W	sell 6/10/03 & 7/15/03		J		
9 ADC Telecomm Inc.	A	Div	J	W	sell 6/10/03 & 8/19/03		J		
10 Medtronic	A	Div	J	W	sell 10/22/03		J		
11									
12									
13									
14									
15									
16									
17									

1	Income/Gain Codes: (See Col. B1, 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 H=\$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 Col. C1, 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 Col. C1)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

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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

Date May 7, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. App., § 104.)

FILING INSTRUCTIONS:

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the
United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544