

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Ericksen, Joan N.	2. Court or Organization U.S. District Court - Minnesota	3. Date of Report 05/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 12W United States 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.		

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. Committee Member	NCBE, Multistate Bar Drafting Committee
2. Immediate Past President	Jimmie V. Reyna Intellectual Property Inn of Court
3.	
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. 2002	Minnesota State Judge Defined Benefit Retirement Plan
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. 2017	National Conference of Bar Examiners	\$7,000.00
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.	
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. Lawyers for Civil Justice	May 4-5, 2017	Washington, DC	Panelist	Transportation, hotel, and meals
2. NCBE	May 25-28, 2017	Portland, OR	Multistate Bar Drafting Committee Meeting	Transportation, hotel, and meals
3. Duke Law School	July 19-21, 2017	New York, NY	Conference	Transportation, hotel, and meals
4. NCBE	Sept. 22-24, 2017	Vergennes, VT	Multistate Bar Drafting Committee Meeting	Transportation, hotel, and meals
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. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)		None	K	T					
2. Trust #1 (H)									
3. Charles Schwab Cash (cash account)	A	Interest	J	T					
4. Accenture PLC Class A (ACN)	A	Dividend	K	T					
5. Check PT Software (CHKP)		None	J	T	Buy (add'l)	04/10/17	J		
6. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Buy (add'l)	04/10/17	J		
7. CR Bard Incorporate (BCR)	A	Dividend	K	T	Buy (add'l)	04/25/17	J		
8. CVS Health Corp (CVS)	A	Dividend	K	T	Buy (add'l)	12/13/17	J		
9. Danaher Corp (DHR)	A	Dividend	K	T					
10. Ecolab Inc (ECL)	A	Dividend	K	T					
11. Expeditors Intl Wash (EXPD)	A	Dividend	K	T					
12. Fastenal Co (FAST)	A	Dividend	K	T					
13. Fedex Corporation (FDX)	A	Dividend	K	T	Sold (part)	12/13/17	J		
14. Franklin Resources (BEN)	A	Dividend	K	T					
15. Illinois Tool Works (ITW)	A	Dividend	K	T	Sold (part)	12/13/17	J		
16. Johnson & Johnson (JNJ)	A	Dividend	K	T					
17. Johnson Ctls Intl (JCI)	A	Dividend	K	T	Buy (add'l)	12/13/17	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 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 Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$500,000.00	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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☐ 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. Medtronic PLC (MDT)	A	Dividend	J	T					
19. Microsoft Corp (MSFT)	A	Dividend	K	T					
20. Novartis AG ADR (NVS)	A	Dividend	K	T					
21. Proctor & Gamble (PG)	A	Dividend	J	T					
22. Qualcomm Inc (QCOM)		None	K	T	Sold	04/10/17	J		
23.					Buy	12/13/17	K		
24. Sherwin Williams Co (SHW)	A	Dividend	K	T	Sold (part)	12/13/17	J		
25. Stryker Corp (SYK)	A	Dividend	K	T	Sold (part)	12/13/17	J		
26. Thermo Fisher Scientific (TMO)	A	Dividend	K	T					
27. Visa Inc Class A (V)	A	Dividend	K	T	Sold (part)	12/13/17	J		
28. Wal-mart Stores Inc (WMT)	A	Dividend	K	T					
29. Walt Disney Co (DIS)	A	Dividend	K	T	Buy	06/26/17	K		
30. WW Grainger Inc	A	Dividend			Sold	06/22/17	J		
31. IRA #1 (H)									
32. Charles Schwab Cash (cash account)	A	Interest	J	T					
33. Accenture PLC Class A (ACN)	A	Dividend	K	T					
34. Check PT Software (CHKP)		None	K	T	Sold (part)	07/11/17	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T					
36. CR Bard Incorporate (BCR)	A	Dividend	K	T	Sold (part)	07/11/17	J		
37. CVS Health Corp (CVS)	A	Dividend	K	T					
38. Danaher Corp (DHR)	A	Dividend	K	T					
39. Ecolab Inc (ECL)	A	Dividend	K	T					
40. Expeditors Intl Wash (EXPD)	A	Dividend	K	T					
41. Fastenal Co (FAST)	A	Dividend	K	T					
42. Fedex Corporation (FDX)	A	Dividend	K	T					
43. Franklin Resources (BEN)	A	Dividend	K	T					
44. Illinois Tool Works (ITW)	A	Dividend	K	T					
45. Johnson & Johnson (JNJ)	A	Dividend	K	T					
46. Johnson Ctls Intl (JCI)	A	Dividend	J	T					
47. Medtronic PLC (MDT)	A	Dividend	J	T					
48. Microsoft Corp (MSFT)	A	Dividend	K	T					
49. Novartis AG ADR (NVS)	A	Dividend	K	T					
50. Proctor & Gamble (PG)	A	Dividend	K	T					
51. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	07/11/17	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	
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52. Sherwin Williams Co (SHW)	A	Dividend	K	T					
53. Stryker Corp (SYK)	A	Dividend	K	T					
54. Thermo Fisher Scntfc (TMO)	A	Dividend	K	T					
55. Visa Inc Class A (V)	A	Dividend	K	T					
56. Wal-mart Stores Inc (WMT)	A	Dividend	K	T					
57. Walt Disney Co (DIS)	A	Dividend	K	T	Buy	06/26/17	K		
58. WW Grainger Inc	A	Dividend			Sold	06/22/17	J		
59. IRA #2 (H)									
60. Charles Schwab Cash (cash account) (X)	A	Interest	J	T					
61. Accenture PLC Class A (ACN) (X)	A	Dividend	J	T					
62. Check PT Software (CHKP) (X)		None	J	T	Sold (part)	07/11/17	J		
63. Cognizant Tech Solu Class A (CTSH) (X)	A	Dividend	J	T					
64. CR Bard Incorporate (BCR) (X)	A	Dividend	J	T					
65. CVS Health Corp (CVS) (X)	A	Dividend	J	T					
66. Danaher Corp (DHR) (X)	A	Dividend	J	T					
67. Ecolab Inc (ECL) (X)	A	Dividend	J	T					
68. Expeditors Intl Wash (EXPD) (X)	A	Dividend	J	T					

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69. Fastenal Co (FAST) (X)	A	Dividend	J	T					
70. Fedex Corporation (FDX) (X)	A	Dividend	J	T					
71. Franklin Resources (BEN) (X)	A	Dividend	J	T					
72. Illinois Tool Works (ITW) (X)	A	Dividend	J	T					
73. Johnson & Johnson (JNJ) (X)	A	Dividend	J	T					
74. Johnson Ctls Intl (JCI) (X)	A	Dividend	J	T					
75. Medtronic PLC (MDT) (X)	A	Dividend	J	T					
76. Microsoft Corp (MSFT) (X)	A	Dividend	J	T					
77. Novartis AG ADR (NVS) (X)		None	J	T					
78. Proctor & Gamble (PG) (X)	A	Dividend	J	T					
79. Qualcomm Inc (QCOM) (X)	A	Dividend	J	T	Buy (add'l)	07/11/17	J		
80. Sherwin Williams Co (SHW) (X)	A	Dividend	J	T					
81. Stryker Corp (SYK) (X)	A	Dividend	J	T					
82. Thermo Fisher Scntfc (TMO) (X)	A	Dividend	J	T					
83. Visa Inc Class A (V) (X)	A	Dividend	J	T					
84. Wal-mart Stores Inc (WMT) (X)	A	Dividend	J	T					
85. Walt Disney Co (DIS)	A	Dividend	J	T	Buy	06/26/17	J		

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86. WW Grainger Inc (X)	A	Dividend			Sold	06/22/17	J		

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

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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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/ **Joan N. Ericksen**

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