AO-10
Rev. 1/2004

FINANCIAL DISCLOSURE REPORT

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 name, Middle initial) MONTGOMERY, ANN D	2. Court or Organization U.S. DISTRICT COURT - MN	3. Date of Report 05/06/2004
4. Title (Article III Judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE - ACTIVE	5. Report Type (check appropriate type) Date ○ Initial ◉ Annual ○ Final	6. Reporting Period 01/01/2003 to 12/31/2003
7. Chambers or Office Address 13W U.S. COURTHOUSE 300 SOUTH FOURTH STREET MINNEAPOLIS, MN 55415	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 filing instructions)

☑ NONE - (No reportable positions.)

POSITION	NAME OF ORGANIZATION/ENTITY
1.	

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

☑ NONE - (No reportable agreements.)

DATE	PARTIES AND TERMS
1.	

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FINANCIAL DISCLOSURE OFFICE

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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	GROSS INCOME (yours, not spouse's)
1.	2003	MN Continuing Legal Education	2,700.00

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.)

	DATE	SOURCE AND TYPE
1.	2003	Arthur, Chapman, Kettering, Smetak & Pikala Law Firm

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

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

☑ NONE - (No such reportable reimbursements.)

	SOURCE	DESCRIPTION
1.		

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

☑ NONE - (No such reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-34 of instructions.)

☑ NONE - (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (includes those of the spouse and dependent children. See pp. 34-57 of filing instructions.)

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
						If not exempt from disclosure			
Place "(X)" after each asset exempt from prior disclosure	(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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income, assets, or transactions)									
1. US Bancorp	A	Interest	K	T					
2. Vanguard/Wellington	D	Dividend	K	T					
3. Vanguard Wellesey Inc. Fund	C	Dividend	K	T					
4. T. Rowe Price - Growth Stock - IRA Account		None			Sold	4/11	K		
5. T. Rowe Price - New Horizons - IRA Account		None			Partial sale	4/11	J		
6. TCF Financial Corp - Common Stock		None			Sold	1/7	J	A	
7. Nortech System - Common Stock	A	Dividend	J	T					
8. Minnesota State Judge Retirement Plan		None	K	U					
9. 1\4 Interest in [redacted] woods/farm land in Meeker Co., MN	A	Rent	J	S					
10. Neurogen Corp. HWP - Common Stock	B	Dividend	J	T					
11. Putnam New Opportunity Fund IRA Account		None			Sold	4/11	K		
12. Putnam International New Opportunity Fund IRA Account		None			Partial sale	4/11	J		
13. Putnam Fund for Growth & Income	A	Dividend			Sold	11/5	J		
14. Putnam Fund for Growth & Income	A	Dividend			Sold	11/5	J		
15. Putnam Voyager Fund	A	Dividend			Sold	11/5	J		
16. Putman Voyager Fund	B	Dividend			Sold	11/5	J		
17. U.S. Treasury Bonds	D	Interest	L	T	Buy	12/3	K		
18. Alliance Municipal Trust	A	Dividend	J	T					

1. Income/Gain Codes: (See Columns B1 and D4) 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; 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: (See Columns C1 and D3) J = $15,000 or less; K = $15,001-$50,000; L = $50,001-$100,000; M = $100,001-$250,000; N = $250,000-$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

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A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period		If not exempt from disclosure		
Place "(X)" after each asset exempt from prior disclosure	(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, merger, redemption)	(2) Date: Month - Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
19. Lincoln Life Variable Annuity Fund	D	Dividend	K	T					
20. Putnam Income Fund	A	Dividend			Buy	3/12	J		
21. T. Rowe Price - Personal Strat. Growth - IRA Acct.	C	Dividend	J	T	Buy	4/11	J		
22. T. Rowe Price - Cap. App. - IRA Acct.	D	Dividend	K	T	Buy	4/11	K		
23. Putnam Int'l Equity (Growth) B - IRA Acct.		None			Buy	4/11	J		
24. Putnam New Value B		None			Buy	4/11	K		
25. Putnam Mid-Cap Value B		None			Buy	4/11	J		
26. T. Rowe Price New Horizons - IRA Acct.		None			Sold	5/14	J		
27. T. Rowe Price - Small Cap Stock - IRA Acct.	A	Dividend	J	T	Buy	5/14	J		
28. Putnam New Opps B - IRA Acct.	A	Dividend	J	T	Sold	5/14	J		
29. Putnam Cap. Opp. B - IRA Acct.		None			Buy	5/14	J		
30. Pershing Govt. Acct. - IRA Acct.	A	Dividend	L	T	Buy	11/2	L		
31. Putnam Income Fund	A	Dividend			Sold	11/5	J		
32. Putnam Int'l Equity (Growth) B - IRA Acct.		None			Sold	11/5	K		
33. Putnam New Value B		None			Sold	11/5	K		
34. Putnam Mid-Cap Value B		None			Sold	11/5	J		
35. Putnam Cap. Opp. B - IRA Acct.		None			Sold	11/5	J		

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2. Value Codes: (See Columns C1 and D3) J =$15,000 or less K =$15,001-$50,000 L =$50,001-$100,000 M =$100,001-$250,000 N =$250,000-$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 W =Estimated

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS (Indicate part of Report.)

Section VII: No. 9 - Item 9 is real estate owned in common with my siblings. The assessed tax value is approximately $11,000; the current value may actually be less than that but my share, in any event, would be less than $5,000.

Section VII: No. 23 - Putman International Equity Growth changed its name on 5/1/03 to Putnam International Equity.

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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. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature [redacted] Date May 6, 2004

NOTE: AN [redacted] WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJE [redacted] NS (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