

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010**

*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) MONTGOMERY, ANN D.	2. Court or Organization U.S. DISTRICT COURT - MN	3. Date of Report 05/03/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE - ACTIVE	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input type="checkbox"/> Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
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.)*

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
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. _____	_____
2. _____	_____
3. _____	_____

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

MONTGOMERY, ANN D.

Date of Report

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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.		
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. 2010	Arthur, Chapman, Kettering, Smetak & Pikala Law Firm
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.	International Criminal Tribunal for Rwanda	March 15 - March 21, 2010	Arusha, Tanzania	ICTR Training - Direct and Cross Exam	Transportation, lodging, meals
2.	The Aspen Institute/Robina Foundation	November 5 - November 7, 2010	Queenstown, MD	The Aspen Institute Justice and Society Program	Transportation, lodging, meals
3.	American Conference Institute	November 30 - December 1, 2010	Orlando, FL	ACI's 21st Annual Bad Faith Litigation Conference	Transportation, lodging, meals
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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Name of Person Reporting MONTGOMERY, ANN D.	Date of Report 05/03/2011
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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. US Bancorp	A	Interest	J	T				
2. Nortech System - Common Stock	A	Dividend	J	T					
3. Minnesota State Judge Retirement Plan		None	K	U					
4. 1/4 Interest in farm land in Meeker County, MN	A	Rent	L	S					
5. Neurogen Corp. HWP - Common Stock		None			Sold	06/01/10	J	A	
6. Lincoln Life Variable Annuity Fund		None			Sold	03/10/10	L	A	
7. Trans America Annuity		None	L	T	Buy	03/10/10	L		
8. Alliance Bernstein Balanced Wealth Strategies	A	Dividend			Sold	02/16/10	L		
9. Pimco Total Return	B	Dividend	K	T	Buy	02/16/10	K		
10. Prudential Natural Resource	A	Dividend	K	T	Buy	02/16/10	K		
11. Blackrock Global Allocation	A	Dividend	K	T	Buy	02/16/10	K		
12. First Eagle	A	Dividend	K	T	Buy	02/16/10	K		
13. Ivy Asset Strategy	A	Dividend	K	T	Buy	02/16/10	K		
14. Blackrock Global Allocation - IRA	A	Dividend	K	T	Sold (part)	02/16/10	M	D	
15. Prudential Natural Resource - IRA	A	Dividend	K	T	Buy	02/16/10	K		
16. Ivy Asset Strategy - IRA	A	Dividend	K	T	Buy	02/16/10	K		
17. First Eagle - IRA	A	Dividend	K	T	Buy	02/16/10	K		

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

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting MONTGOMERY, ANN D.	Date of Report 05/03/2011
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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Pimco - IRA	B	Dividend	K	T	Buy	02/16/10	K		

- 1. Income Gain Codes:
 - A = \$1,000 or less
 - F = \$50,001 - \$100,000
 - J = \$15,000 or less
 - N = \$250,001 - \$500,000
 - P3 = \$25,000,001 - \$50,000,000
- 2. Value Codes
 - B = \$1,001 - \$2,500
 - G = \$100,001 - \$1,000,000
 - K = \$15,001 - \$50,000
 - O = \$500,001 - \$1,000,000
- 3. Value Method Codes
 - Q = Appraisal
 - U = Book Value
 - R = Cost (Real Estate Only)
 - V = Other
 - C = \$2,501 - \$5,000
 - H1 = \$1,000,001 - \$5,000,000
 - L = \$50,001 - \$100,000
 - P1 = \$1,000,001 - \$5,000,000
 - P4 = More than \$50,000,000
 - S = Assessment
 - W = Estimated
 - D = \$5,001 - \$15,000
 - H2 = More than \$5,000,000
 - M = \$100,001 - \$250,000
 - P2 = \$5,000,001 - \$25,000,000
 - T = Cash Market
- E = \$15,001 - \$50,000

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Name of Person Reporting

MONTGOMERY, ANN D.

Date of Report

05/03/2011

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

Section VII: No. 4 - Item 4 is real estate owned [REDACTED] [REDACTED] The assessed tax value is approximately \$80,000; the current value may actually be less than that but my share, in any event, would be less than \$20,000.

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Name of Person Reporting

MONTGOMERY, ANN D.

Date of Report

05/03/2011

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/ ANN D. MONTGOMERY**

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)

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

**FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2010**

*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) MONTGOMERY, ANN D.	2. Court or Organization U.S. DISTRICT COURT - MN	3. Date of Report 07/11/2011
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) ARTICLE III JUDGE - ACTIVE	5a. Report Type (check appropriate type) <input type="checkbox"/> Nomination, Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final 5b. <input checked="" type="checkbox"/> Amended Report	6. Reporting Period 01/01/2010 to 12/31/2010
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.*

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NONE *(No reportable positions.)*

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
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. _____	_____
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<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
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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. 2010	Arthur, Chapman, Kettering, Smetak & Pikala Law Firm
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. International Criminal Tribunal for Rwanda	March 15 - March 21, 2010	Arusha, Tanzania	ICTR Training - Direct and Cross Exam	Transportation, lodging, meals
2. The Aspen Institute/Robina Foundation	November 5 - November 7, 2010	Queenstown, MD	The Aspen Institute Justice and Society Program	Transportation, lodging, meals
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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>
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NONE (No reportable income, assets, or transactions.)

	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		
	Place "(X)" after each asset exempt from prior disclosure	Amount Code 1 (A-H)	(1) 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.	US Bancorp	A	Interest	J	T					
2.	Nortech System - Common Stock	A	Dividend	J	T					
3.	Minnesota State Judge Retirement Plan		None	K	U					
4.	1/4 Interest in farm land in Meeker County, MN	A	Rent	L	S					
5.	Neurogen Corp. HWP - Common Stock		None			Sold	06/01/10	J	A	
6.	Lincoln Life Variable Annuity Fund		None			Sold	03/10/10	L	A	
7.	Trans America Annuity		None	L	T	Buy	03/10/10	L		
8.	Alliance Bernstein Balanced Wealth Strategies	A	Dividend			Sold	02/16/10	L		
9.	Total Return - IMCO PIMCO	B	Dividend	K	T	Buy	02/16/10	K		
10.	Prudential Natural Resources - Prudential	A	Dividend	K	T	Buy	02/16/10	K		
11.	Blackrock Global Allocation - Blackrock	A	Dividend	K	T	Buy	02/16/10	K		
12.	First Eagle Global Fund - First Eagle	A	Dividend	K	T	Buy	02/16/10	K		
13.	Ivy Asset Strategy - IVY	A	Dividend	K	T	Buy	02/16/10	K		
14.	Blackrock Global Allocation - IRA - Blackrock	A	Dividend	K	T	Sold (part)	02/16/10	M	D	
15.	Prudential Natural Resources - IRA - Prudential	A	Dividend	K	T	Buy	02/16/10	K		
16.	Ivy Asset Strategy - IRA - IVY	A	Dividend	K	T	Buy	02/16/10	K		
17.	First Eagle Global Fund - IRA - First Eagle	A	Dividend	K	T	Buy	02/16/10	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

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Name of Person Reporting

MONTGOMERY, ANN D.

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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.)

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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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div., rent, or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. PimcoTotal Return - IRA - PIMCO	B	Dividend	K	T	Buy	02/16/10	K		

- 1. Income Gain Codes:
(See Columns B 1 and D4)
- 2. Value Codes
(See Columns C1 and D3)
- 3. Value Method Codes
(See Column C2)

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	
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	R = Cost (Real Estate Only)	P4 = More than \$50,000,000	S = Assessment	T = Cash Market
Q = Appraisal	V = Other		W = Estimated	
U = Book Value				

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Name of Person Reporting

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

Section VII: No. 4 - Item 4 is real estate owned in common [REDACTED] The assessed tax value is approximately \$80,000; the current value may actually be less than that but my share, in any event, would be less than \$20,000.

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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/* ANN D. MONTGOMERY

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)

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