

## FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

*Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)*

<b>1. Person Reporting (last name, first, middle initial)</b>  MONTGOMERY, ANN D.	<b>2. Court or Organization</b>  U.S. DISTRICT COURT - MN	<b>3. Date of Report</b>  04/22/2013
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b>  ARTICLE III JUDGE - ACTIVE	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination <input type="checkbox"/> Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2012 to 12/31/2012
<b>7. Chambers or Office Address</b>  13W U.S. COURTHOUSE 300 SOUTH FOURTH STREET MINNEAPOLIS, MN 55415		
<b>IMPORTANT NOTES:</b> <i>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>		

**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.	1994	Minnesota State (Judges) Retirement System
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. 2012	Minnesota State Retirement System	\$19,909.32
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.	International Judicial Academy	April 9 - 18, 2012	China	IJA International Commercial Arbitration Conference	Transportation, lodging, meals
2.	American Conference Institute	July 30 - 31, 2012	New York, NY	ACI Employment Discrimination Litigation Conf./ACI Litigating Life Insurance Conf.	Transportation, lodging
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.)*

<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)	(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)
1. US Bancorp	A	Interest	J	T					
2. Nortech System - Common Stock	A	Dividend	J	T					
3. 1/4 Interest in farm land in Meeker County, MN	A	Rent	L	S					
4. Trans America Annuity		None	L	T					
5. PIMCO Total Return - IMCO	B	Dividend	K	T	Sold (part)	07/13/12	J	A	
6. Prudential Natural Resources - Prudential	A	Dividend	K	T	Sold (part)	07/13/12	J	A	
7. Blackrock Global Allocation - Blackrock	A	Dividend	K	T	Sold (part)	07/13/12	J	A	
8. First Eagle Global Fund - First Eagle	A	Dividend	K	T	Sold (part)	07/13/12	J	B	
9. Ivy Asset Strategy - IVY	A	Dividend	K	T	Sold (part)	07/13/12	J	B	
10. Blackrock Global Allocation - IRA - Blackrock	A	Dividend	K	T					
11. Prudential Natural Resources - IRA - Prudential	A	Dividend	K	T					
12. Ivy Asset Strategy - IRA - IVY	A	Dividend	K	T					
13. First Eagle Global Fund - IRA - First Eagle	A	Dividend	K	T					
14. PimcoTotal Return - IRA - PIMCO	B	Dividend	K	T					
15.									
16.									
17.									


- 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
- 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

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

Section VII: No. 3 - Item 3 is real estate owned  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 WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

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