AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Ericksen, Joan N.	U.S. District Court - District of Minnesota	05/16/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. District Judge - Senior	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Co-Trustee	Trust #1 (reportable assets are listed in Part VII)
2.		
3.		
4.		
5.		

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

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2002	Minnesota State Judge Defined Benefit Retirement Plan
2.		
3.		

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	INCOME (yours, not spouse's)
1.	2021	Minnesota State Retirement System (pension)	$12,582.36
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.)*

	DATE	SOURCE AND TYPE
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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
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.)*

	CREDITOR	DESCRIPTION	VALUE CODE
1.			
2.			
3.			
4.			
5.			

Name of Person Reporting	Date of Report
Ericksen, Joan N.	05/16/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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, 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. Individual Assets (H)									
2. Fidelity Advisor 529 Aggressive Growth Cl C (FFCGX)		None	K	T					
3. Account #1 (H)									
4. Schwab Bank Sweep Acct (cash) (Y)									
5. Accenture PLC Class A (ACN)	A	Dividend	K	T	Sold (part)	08/13/21	J		
6.					Sold (part)	11/05/21	J		
7. Alphabet Inc Class A (GOOGL)		None	K	T	Sold (part)	04/19/21	J		
8.					Sold (part)	07/23/21	J		
9.					Sold (part)	08/10/21	J		
10. Check PT Software (CHKP)		None	K	T	Buy (add'l)	06/22/21	J		
11. Church & Dwight Co (CHD)	A	Dividend	K	T	Buy (add'l)	08/11/21	J		
12. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Buy (add'l)	05/21/21	J		
13. CVS Health Corp (CVS)	A	Dividend	K	T	Sold (part)	05/19/21	J		
14. Danaher Corp (DHR)	A	Dividend	K	T	Sold (part)	08/10/21	J		
15. Ecolab Inc (ECL)	A	Dividend	K	T	Buy (add'l)	06/21/21	J		
16.					Buy (add'l)	06/28/21	J		
17. Expeditors Intl Wash (EXPD)	A	Dividend	K	T	Sold (part)	05/28/21	J		

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 =$250,001 - $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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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Ericksen, Joan N.	05/16/2022

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	B		C		D				
Description of Assets (including trust assets)	Income during reporting period		Gross value at end of reporting period		Transactions during reporting period				
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, 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. Fastenal Co (FAST)	A	Dividend	K	T					
19. Fedex Corporation (FDX)	A	Dividend	K	T	Buy (add'l)	07/28/21	J		
20.					Buy (add'l)	08/27/21	J		
21. Fiserv Inc (FISV)		None	K	T	Buy	08/17/21	K		
22.					Buy (add'l)	11/10/21	J		
23. Illinois Tool Works (ITW)	A	Dividend	K	T					
24. Intercontinental Exc (ICE)	A	Dividend	K	T					
25. Johnson & Johnson (JNJ)	A	Dividend	K	T					
26. Medtronic PLC (MDT)	A	Dividend	K	T	Buy (add'l)	11/30/21	J		
27. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	10/28/21	J		
28. Proctor & Gamble (PG)	A	Dividend			Sold	08/16/21	K		
29. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	03/09/21	J		
30.					Sold (part)	11/08/21	J		
31.					Sold (part)	11/29/21	J		
32. Roper Technologies (ROP)	A	Dividend	K	T	Buy (add'l)	03/03/21	J		
33.					Sold (part)	07/23/21	J		
34. Sherwin Williams Co (SHW)	A	Dividend	K	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 =$250,001 - $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		
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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	B		C		D				
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35. Stryker Corp (SYK)	A	Dividend	K	T					
36. Thermo Fisher Scntfc (TMO)	A	Dividend	K	T	Sold (part)	11/29/21	J		
37. Visa Inc Class A (V)	A	Dividend	K	T	Buy (add'l)	11/08/21	J		
38. Wal-mart Stores Inc (WMT)	A	Dividend	K	T	Buy (add'l)	06/23/21	J		
39. Walt Disney Co (DIS)		None	K	T	Buy (add'l)	06/21/21	J		
40.					Buy (add'l)	11/30/21	J		
41. Account #2 (H)									
42. Accenture PLC Class A (ACN)	A	Dividend	J	T	Sold (part)	08/13/21	J		
43.					Sold (part)	11/05/21	J		
44. Alphabet Inc Class A (GOOGL)		None	J	T	Sold (part)	04/19/21	J		
45. Check PT Software (CHKP)		None	J	T					
46. Church & Dwight Co (CHD)	A	Dividend	J	T	Buy (add'l)	08/11/21	J		
47. Cognizant Tech Solu Class A (CTSH)	A	Dividend	J	T	Buy (add'l)	05/21/21	J		
48. CVS Health Corp (CVS)	A	Dividend	J	T	Sold (part)	05/19/21	J		
49. Danaher Corp (DHR)	A	Dividend	J	T					
50. Ecolab Inc (ECL)	A	Dividend	J	T					
51. Expeditors Intl Wash (EXPD)	A	Dividend	J	T	Sold (part)	05/28/21	J		

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 =$250,001 - $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

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52. Fastenal Co (FAST)	A	Dividend	J	T					
53. Fedex Corporation (FDX)	A	Dividend	J	T					
54. Fiserv Inc (FISV)		None	J	T	Buy	08/17/21	J		
55.					Buy (add'l)	11/10/21	J		
56. Illinois Tool Works (ITW)	A	Dividend	J	T					
57. Intercontinental Exc (ICE)	A	Dividend	J	T					
58. Johnson & Johnson (JNJ)	A	Dividend	J	T					
59. Medtronic PLC (MDT)	A	Dividend	J	T					
60. Microsoft Corp (MSFT)	A	Dividend	J	T					
61. Proctor & Gamble (PG)	A	Dividend			Sold	08/16/21	J		
62. Qualcomm Inc (QCOM)	A	Dividend	J	T					
63. Roper Technologies (ROP)	A	Dividend	J	T	Buy (add'l)	03/03/21	J		
64.					Sold (part)	07/23/21	J		
65. Sherwin Williams Co (SHW)	A	Dividend	J	T	Sold (part)	11/16/21	J		
66. Stryker Corp (SYK)	A	Dividend	J	T					
67. Thermo Fisher Scntfc (TMO)	A	Dividend	J	T	Sold (part)	11/29/21	J		
68. Visa Inc Class A (V)	A	Dividend	J	T	Buy (add'l)	11/08/21	J		

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

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69. Wal-mart Stores Inc (WMT)	A	Dividend	J	T	Buy (add'l)	06/23/21	J		
70. Walt Disney Co (DIS)		None	J	T	Buy (add'l)	11/30/21	J		
71. Account #3 (H)									
72. Schwab Bank Sweep Account (cash) (Y)									
73. Accenture PLC Class A (ACN)	A	Dividend	K	T	Sold (part)	11/05/21	J		
74. Alphabet Inc Class A (GOOGL)		None	K	T	Sold (part)	07/23/21	J		
75. Check PT Software (CHKP)		None	K	T	Buy (add'l)	06/22/21	J		
76. Church & Dwight Co (CHD)	A	Dividend	K	T	Buy (add'l)	08/11/21	J		
77. Cognizant Tech Solu Class A (CTSH)	A	Dividend	K	T	Buy (add'l)	05/20/21	J		
78. CVS Health Corp (CVS)	A	Dividend	K	T	Sold (part)	05/19/21	J		
79. Danaher Corp (DHR)	A	Dividend	K	T					
80. Ecolab Inc (ECL)	A	Dividend	K	T					
81. Expeditors Intl Wash (EXPD)	A	Dividend	K	T	Sold (part)	05/28/21	J		
82. Fastenal Co (FAST)	A	Dividend	K	T					
83. Fedex Corporation (FDX)	A	Dividend	K	T	Buy (add'l)	07/28/21	J		
84.					Buy (add'l)	08/27/21	J		
85. Fiserv Inc (FISV)		None	K	T	Buy	08/17/21	K		

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 =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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86.					Buy (add'l)	11/10/21	J		
87. Illinois Tool Works (ITW)	A	Dividend	K	T					
88. Intercontinental Exc (ICE)	A	Dividend	K	T					
89. Johnson & Johnson (JNJ)	A	Dividend	K	T					
90. Medtronic PLC (MDT)	A	Dividend	J	T	Buy (add'l)	11/30/21	J		
91. Microsoft Corp (MSFT)	A	Dividend	K	T	Sold (part)	10/28/21	J		
92. Proctor & Gamble (PG)	A	Dividend			Sold	08/16/21	K		
93. Qualcomm Inc (QCOM)	A	Dividend	K	T	Buy (add'l)	03/09/21	J		
94.					Sold (part)	11/29/21	J		
95. Roper Technologies (ROP)	A	Dividend	K	T	Buy (add'l)	03/03/21	J		
96.					Sold (part)	07/23/21	J		
97. Sherwin Williams Co (SHW)	A	Dividend	K	T					
98. Stryker Corp (SYK)	A	Dividend	K	T					
99. Thermo Fisher Scientific (TMO)	A	Dividend	K	T	Sold (part)	11/29/21	J		
100. Visa Inc Class A (V)	A	Dividend	K	T	Buy (add'l)	11/08/21	J		
101. Wal-mart Stores Inc (WMT)	A	Dividend	K	T	Buy (add'l)	06/23/21	J		
102. Walt Disney Co (DIS)		None	K	T	Buy (add'l)	06/21/21	J		

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 =$250,001 - $500,000	O =$500,001 - $1,000,000	P1 =$1,000,001 - $5,000,000	P2 =$5,000,001 - $25,000,000	
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103.					Buy (add'l)	11/30/21	J		

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 =$250,001 - $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

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Ericksen, Joan N.	05/16/2022

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.

Name of Person Reporting	Date of Report
Ericksen, Joan N.	05/16/2022

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
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Washington, D.C. 20544