AO 10
Rev. 3/2023

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2023

Report Required by the Ethics in Government Act of 1978 (5 U.S.C. app. §§ 13101-13111)

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Erickson, Ralph R.	8th Circuit	04/30/2024
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**
Circuit Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2023 **to** 12/31/2023
7. Chambers or Office Address		
Quentin Burdick US Courthouse 655 1st Ave. N., Ste. 340 Fargo, ND 58102-4952		

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 Guide to Judiciary Policy, Volume 2D, Ch. 3, § 345 Trustees, Executors, Administrators, and Custodians; § 350 Power of Attorney; § 355 Outside Positions.)*

☐ NONE *(No reportable positions.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Trustee	Trust #1
2.		
3.		
4.		
5.		

II. AGREEMENTS. *(Reporting individual only; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 340 Agreements and Arrangements.)*

☐ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.	2/15/93	NDPERS County Retirement Plan
2.	1/02/05	NDPERS State Judicial Retirement Plan
3.		

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 320 Income; § 360 Spouses and Dependent Children.)*

A. Filer's Non-Investment Income

☑ NONE *(No reportable non-investment income.)*

	DATE	SOURCE AND TYPE	INCOME (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.)*

	DATE	SOURCE
1.	12/31/2023	Self-employed Optometrist
2.		
3.		
4.		

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

(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)

☐ NONE *(No reportable reimbursements.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.	American College of Coverage Counsel Annual Conference	05/10-12/2023	Chicago, IL	Participate as speaker and panel member	travel, lodging, food for judge and [redacted]
2.					
3.					
4.					
5.					

V. GIFTS. *(Includes those to spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 330 Gifts and Reimbursements; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable gifts.)*

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 335 Liabilities; § 360 Spouses and Dependent Children.)*

☑ NONE *(No reportable liabilities.)*

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

Name of Person Reporting	Date of Report
Erickson, Ralph R.	04/30/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
1.	AWSHX	B	Int./Div.	K	T					
2.	Oakmark Select, mutual fund	A	Dividend	J	T					
3.										
4.	Gate City Savings--savings account	A	Interest	J	T					
5.	Gate City--checking accout		None	K	T					
6.	Midwest Bank--checking account		None	J	T					
7.	Bremer Bank--checking account		None	J	T					
8.	Digital Broadcast Corporation		None	J	W					
9.										
10.	Guardian Insurance Trust #1 mixed whole/ term life	D	Dividend	N	T					
11.	Guardian Insurance (Whole Life Cash Value)	D	Dividend	M	T					
12.	Guardian Insurance (Whole Life Cash Value)	D	Dividend	M	T					
13.	Guardian Insurance (Whole Life Cash Value)	C	Dividend	M	T					
14.	Guardian Insurance (Whole Life Cash Value)	C	Dividend	M	T					
15.	Jackson National Life (Life Insurance cash value)	B	Interest	L	T					
16.	Allianz Life (Life Ins. cash value	A	Dividend	K	T					
17.	Allianz Life (Life Ins. cash value)	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
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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Erickson, Ralph R.	04/30/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
18.									
19. Assets in SEP at Alerus Financial									
20. Alerus Financial MMKT	A	Interest	J	T					
21. FIDGX	A	Dividend	K	T	Buy (add'l)	10/30/23	J		
22. VFIAX	C	Dividend	L	T	Sold (part)	07/18/23	J	A	
23.					Sold (part)	07/24/23	L	E	
24.					Sold (part)	10/16/23	J	B	
25.					Buy (add'l)	01/23/23	J		
26.					Buy (add'l)	03/29/23	J		
27. PMZIX	B	Dividend	K	T	Buy (add'l)	01/09/23	J		
28.					Buy (add'l)	06/26/23	J		
29.					Buy (add'l)	07/10/23	J		
30.					Buy (add'l)	07/24/23	J		
31. DFWIX	C	Dividend	L	T	Buy (add'l)	03/29/23	J		
32.					Buy (add'l)	06/27/23	J		
33.					Buy (add'l)	06/30/23	J		
34.					Buy (add'l)	07/24/23	J		

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
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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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
35.					Buy (add'l)	11/06/23	J		
36.					Sold (part)	01/12/23	K	A	
37.					Sold (part)	08/31/23	J	A	
38. AGDYX	A	Dividend	J	T	Buy (add'l)	03/06/23	J		
39.					Buy (add'l)	04/03/23	J		
40.					Buy (add'l)	12/11/23	J		
41. CIVIX	B	Dividend	L	T	Buy (add'l)	06/27/23	J		
42.					Buy (add'l)	07/17/23	J		
43.					Buy (add'l)	07/24/23	J		
44.					Sold (part)	02/10/23	J	A	
45.					Sold (part)	04/19/23	J	A	
46.					Sold (part)	08/31/23	J	B	
47. BAGIX	D	Dividend	M	T	Buy (add'l)	02/21/23	J		
48.					Buy (add'l)	03/29/23	J		
49.					Buy (add'l)	07/17/23	J		
50.					Buy (add'l)	07/24/23	J		
51.					Buy (add'l)	12/26/23	J		

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52. CSSPX	A	Dividend			Sold	06/27/23	J	A	
53. VCLT	A	Dividend			Buy (add'l)	02/06/23	J		
54.					Sold	11/10/23	K	D	
55. DFSVX	A	Dividend	K	T	Buy (add'l)	03/20/23	J		
56.					Buy (add'l)	03/29/23	J		
57.					Buy (add'l)	07/24/23	J		
58. FZAJX	A	Dividend	K	T	Buy (add'l)	02/10/23	J		
59.					Buy (add'l)	07/10/23	J		
60.					Buy (add'l)	07/24/23	J		
61.					Sold (part)	08/31/23	J	A	
62. FPADX	A	Dividend	K	T	Buy (add'l)	01/12/23	J		
63.					Buy (add'l)	03/29/23	J		
64.					Buy (add'l)	06/27/23	J		
65.					Buy (add'l)	07/24/23	J		
66.					Sold (part)	08/31/23	J	A	
67.					Sold (part)	10/24/23	K	A	
68. VCIT	A	Dividend	K	T	Buy	02/06/23	K		

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69.					Buy (add'l)	12/26/23	J		
70. FXIAX	A	Dividend	J	T	Buy	10/24/23	J		
71. JMGMX	A	Dividend	K	T	Buy	08/31/23	J		
72.					Buy (add'l)	10/02/23	J		
73.					Buy (add'l)	11/06/23	J		
74. MVCKX	A	Dividend	K	T	Buy	08/31/23	J		
75.					Buy (add'l)	10/02/23	J		
76.					Buy (add'l)	11/06/23	J		
77.									
78.									
79.									
80. Lion Street Financial IRA									
81. American Balanced Fund-F3 AFMBX	A	Dividend	K	T	Buy (add'l)	03/13/23	J		
82.					Buy (add'l)	06/13/23	J		
83.					Buy (add'l)	12/13/23	J		
84. Blue Chip Growth-I Cl TBCIX	A	Dividend	K	T	Buy (add'l)	12/13/23	J		
85. Brokerage Money Market Account	A	Interest	J	T					

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86. Equity Index 500 Fund PREIX	A	Dividend	K	T	Buy (add'l)	03/30/23	J		
87.					Buy (add'l)	06/29/23	J		
88.					Buy (add'l)	09/28/23	J		
89.					Buy (add'l)	12/14/23	J		
90. Fed. Hermes Kaufmann Sm Cap Fd FKAIX	A	Dividend	K	T	Buy (add'l)	12/08/23	J		
91.					Buy (add'l)	12/28/23	J		
92. Janus Henderson Global Equity Inc. Fd Class 1 HFQIX	B	Dividend	K	T	Buy (add'l)	04/03/23	J		
93.					Buy (add'l)	07/03/23	J		
94.					Buy (add'l)	10/10/23	J		
95.					Buy (add'l)	12/12/23	J		
96. Janus INVT FD Balanced ISHS JBALX	A	Dividend	J	T	Buy (add'l)	04/03/23	J		
97.					Buy (add'l)	07/03/23	J		
98.					Buy (add'l)	10/02/23	J		
99.					Buy (add'l)	12/12/23	J		
100. Janus Multi-Sector Income Fund Class 1 JMUIX	B	Dividend	K	T	Buy (add'l)	01/03/23	J		
101.					Buy (add'l)	02/01/23	J		
102.					Buy (add'l)	03/01/23	J		

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	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)	04/03/23	J		
104.					Buy (add'l)	05/01/23	J		
105.					Buy (add'l)	06/01/23	J		
106.					Buy (add'l)	07/03/23	J		
107.					Buy (add'l)	08/01/23	J		
108.					Buy (add'l)	09/01/23	J		
109.					Buy (add'l)	10/02/23	J		
110.					Buy (add'l)	11/01/23	J		
111.					Buy (add'l)	12/01/23	J		
112. PGIM Total Return Bond Cl Z PDBZX	A	Dividend	K	T	Buy (add'l)	01/03/23	J		
113.					Buy (add'l)	02/01/23	J		
114.					Buy (add'l)	03/01/23	J		
115.					Buy (add'l)	04/03/23	J		
116.					Buy (add'l)	05/01/23	J		
117.					Buy (add'l)	06/01/23	J		
118.					Buy (add'l)	07/03/23	J		
119.					Buy (add'l)	08/01/23	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		

Name of Person Reporting	Date of Report
Erickson, Ralph R.	04/30/2024

VII. INVESTMENTS and TRUSTS *-- income, value, transactions (Includes those of spouse and dependent children; see Guide to Judiciary Policy, Volume 2D, Ch. 3, § 310 Reporting Thresholds for Assets; § 312 Types of Reportable Property; § 315 Interests in Property; § 320 Income; § 325 Purchases, Sales, and Exchanges; § 360 Spouses and Dependent Children; § 365 Trusts, Estates, and Investment Funds.)*

☐ 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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	
120.					Buy (add'l)	09/01/23	J		
121.					Buy (add'l)	10/02/23	J		
122.					Buy (add'l)	11/01/23	J		
123.					Buy (add'l)	12/01/23	J		
124. Thrivent Mut FDS L Cap STK Inst IILGX	A	Dividend			Sold	05/17/23	J	A	
125. Thrivent Mut FDS MidCap STK Inst TMSIX	A	Dividend	J	T	Buy (add'l)	01/03/23	J		
126. Thrivent Mut FDS SmCap STK Inst TSCSX	A	Dividend	K	T	Buy (add'l)	01/03/23	J		
127. Farmland Parcel 1, Renville County, ND	D	Rent	O	W					
128. Farmland Parcel 2, Renville County, ND undivided 1/9 interest	B	Rent			Sold	05/05/23	M	A	
129. Condominum in Ward County, ND, undivided 1/9 interest		None			Sold	02/06/23	K	A	
130. Mineral Acres in Renville County, ND, undivided 1/9 interest		None	J	W					
131. Mineral Acres in Bottineau County, ND, undivided 1/9 interest		None	J	W					
132. Mineral Acres in McHenry County, ND, undivided 1/9 interest		None	J	W					
133. Symetra Insurance (variable life ins. cash value)	A	Interest	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 =$250,001 - $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		

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

Part VII, Line 8. Digital Broadcast Company ceased operations a number of years ago and the stock has no value.

Part VII, Line 10, Mixed Whole/Term Life Policy. Policy No. [redacted]. All cash held in Guardian's general account. No investment options. (Trust #1)

Part VII, Line 11. Whole Life Policy. Policy No. [redacted]. All cash held in Guardian's general account. No investment options.

Part VII, Line 12. Whole Life Policy. Policy No. [redacted]. All cash held in Guardian'ts gneral account. No investment options.

Part VII, Line 13. Whole Life Policy, Policy No. [redacted]. All cash held in Guardian's general account. No investment options.

Part VII, Line 14. Whole LIfe Policy, Policy No. [redacted]. All cash held in Guardian's general account. No investment options.

Part VII, Line 15. Variable Life Policy, Policy No. [redacted] All cash Held in Jackson's general account. No investment options.

Part VII, Line 16. Indexed Universal Life Policy. Policy No. [redacted]. All cash held in Allianz's general account. No investment options.

Part VII, Line 17. Indexed Universal Life Policy. Policy No. [redacted]. All cash held in Allianz's gneeral account. No investment options.

Part VII, Line 147. Farmland Parcel 1, Renville Co., ND was acquired by inheritance on March 5, 2022.

Part VII, Line 148. Farmland Parcel 2, Renville Co., ND undivided 1/9 interest was acquired by inheritance on March 5, 2022.

Part VII. Line 149. Condominium in Ward Co., ND undivided 1/9 interest was acquired by inheritance on March 5, 2022.

Part VII, Line 150. Mineral Interests in Renville County, ND undivided 1/9 interest was acquired by inheritance on March 5, 2022.

Part VII, Line 151. Mineral interests in Bottineau County, ND undivided 1/9 interest was acquired by inheritance on March 5, 2022.

Part VII, Line 152. Mineral interests in McHenry County, ND undivided 1/9 interest was acquired by inheritance on March 5, 2022.

Part VII, Line 153 Variable Life Policy No. [redacted]. All cash held in Symetra's general account. No investment option.

Name of Person Reporting	Date of Report
Erickson, Ralph R.	04/30/2024

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. § 13141 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ Ralph R. Erickson

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. § 13106)

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