AO 10
Rev. 3/2023

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

*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 |
|---|---|---|
| LOKEN, JAMES B. | EIGHTH CIRCUIT | 05/10/2023 |
| **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 (Active) | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final | 01/01/2022 **to** 12/31/2022 |
| | **5b.** ☐ Amended Report | |
| **7. Chambers or Office Address** | | |
| U.S. Courthouse, Suite 11W<br>300 South Fourth Street<br>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 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. | Past President | Federal Bar Association, Minnesota Chapter |
| 2. | Member | American Law Institute |
| 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. | | |
| 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. | | |
| 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. | | | | | |
| 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 |
|---|---|
| **LOKEN, JAMES B.** | 05/10/2023 |

## 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 | 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) | |
| 1. STOCKS (All Common) | | | | | | | | | |
| 2. Zimmer Holdings, Inc. | A | Dividend | J | T | | | | | |
| 3. Target Corp | D | Dividend | M | T | | | | | |
| 4. Emerson Electric | D | Dividend | N | T | | | | | |
| 5. Exxon Corp. | B | Dividend | L | T | | | | | |
| 6. XCel Energy, Inc. | D | Dividend | N | T | | | | | |
| 7. Oracle Corp. | B | Dividend | M | T | | | | | |
| 8. Cyberoptics Corp. | | None | | | Sold | 08/22/22 | M | G | |
| 9. Valero Energy | B | Dividend | K | T | Sold (part) | 06/02/22 | K | | |
| 10. Cardiovascular Systems | | None | M | T | Buy (add'l) | 02/11/22 | L | | |
| 11. | | | | | Buy (add'l) | 02/28/22 | K | | |
| 12. | | | | | Buy (add'l) | 06/02/22 | K | | |
| 13. | | | | | Buy (add'l) | 07/27/22 | K | | |
| 14. | | | | | Buy (add'l) | 12/06/22 | K | | |
| 15. Cisco Systems | B | Dividend | K | T | | | | | |
| 16. Option Health Care Inc. | | None | J | T | | | | | |
| 17. Energy Transfer LP | A | Dividend | | | Sold | 01/11/22 | L | E | |

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 |
|---|---|
| **LOKEN, JAMES B.** | 05/10/2023 |

## 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 | 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) | |
| 18. Delta Airlines | | None | L | T | | | | | |
| 19. Micron Technology | | None | K | T | | | | | |
| 20. Digi International Inc. | | None | N | T | Buy (add'l) | 04/21/22 | L | | |
| 21. | | | | | Buy (add'l) | 06/02/22 | K | | |
| 22. Western Digital Corp. | | None | K | T | Sold (part) | 07/27/22 | K | | |
| 23. Caterpillar, Inc. | B | Dividend | L | T | Buy (add'l) | 01/11/22 | K | | |
| 24. IBM Corp. | C | Dividend | L | T | | | | | |
| 25. CVS Health Corp. | A | Dividend | K | T | | | | | |
| 26. Fedex Corp. | A | Dividend | K | T | | | | | |
| 27. Marathon Peete Corp. | B | Dividend | | | Sold (part) | 01/11/22 | J | B | |
| 28. | | | | | Sold | 04/21/22 | L | E | |
| 29. Bank of America | A | Dividend | K | T | | | | | |
| 30. Intricon Corp. | | None | | | Buy (add'l) | 01/11/22 | K | | |
| 31. | | | | | Sold (part) | 02/28/22 | J | E | |
| 32. | | | | | Sold | 05/26/22 | K | D | |
| 33. Shell PLC | B | Dividend | L | T | Buy (add'l) | 01/11/22 | K | | |
| 34. Electromed Inc. | | None | M | T | Buy (add'l) | 12/06/22 | L | | |

| | | | | | |
|---|---|---|---|---|---|
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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 =$250,001 - $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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☐ NONE *(No reportable income, assets, or transactions.)*

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| 35. Kyndryl Holdings | | None | J | T | | | | | |
| 36. Medtronic sPLC | B | Dividend | K | T | Buy (add'l) | 01/11/22 | K | | |
| 37. JP Morgan Chase | B | Dividend | L | T | Buy (add'l) | 07/27/22 | K | | |
| 38. MUTUAL FUNDS | | | | | | | | | |
| 39. Columbia Acorn Fund | D | Dividend | | | Sold | 11/16/22 | M | | |
| 40. Fidelity Equity Income Fund II | D | Dividend | N | T | | | | | |
| 41. Fidelity Mn. Tax Free Fund | A | Dividend | K | T | Sold (part) | 01/20/22 | J | | |
| 42. Fidelity Muni Income Fund | D | Dividend | P1 | T | | | | | |
| 43. Fidelity Real Estate Inv Trust | G | Dividend | P1 | T | Sold (part) | 11/22/22 | M | E | |
| 44. Fidelity 500 Index Prem Fund | E | Dividend | P1 | T | | | | | |
| 45. Fidelity Balanced Fund | D | Dividend | M | T | | | | | |
| 46. Harbor International Fund | | None | | | Sold | 11/16/22 | M | A | |
| 47. Investment Co Amer Fund | E | Dividend | O | T | | | | | |
| 48. Mutual Beacon Fund | E | Dividend | N | T | | | | | |
| 49. New Perspective Fund | D | Dividend | M | T | | | | | |
| 50. Invesco Multi-Asset Fund | A | Dividend | | | Sold | 11/17/22 | J | | |
| 51. Invesco Global Strategic Income | B | Dividend | | | Sold | 11/17/22 | L | | |

| | | | | | |
|---|---|---|---|---|---|
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| 52. Vanguard Fixed Inc Fund GNMA | A | Dividend | J | T | | | | | |
| 53. Washington Mutual Fund | E | Dividend | O | T | | | | | |
| 54. Vanguard Windsor Fund | F | Dividend | N | T | | | | | |
| 55. Vanguard Hi-Yield Corp. Fund | D | Dividend | M | T | | | | | |
| 56. Vanguard Long Term Tax Exempt Fund | A | Dividend | K | T | | | | | |
| 57. Vanguard Wellington Fund | E | Dividend | O | T | | | | | |
| 58. Vanguard REIT Index Fund | B | Dividend | L | T | | | | | |
| 59. Artisan International Fund | D | Dividend | N | T | | | | | |
| 60. Leuthold Core Inv. Fund | E | Dividend | O | T | | | | | |
| 61. Selected American Shares Fund | D | Dividend | | | Sold | 11/17/22 | N | | |
| 62. Amer Century Equity Fund | | None | N | T | | | | | |
| 63. Icon Health Care Fund | D | Dividend | M | T | Buy (add'l) | 11/17/22 | K | | |
| 64. Matthews Pacific Tiger Fund | E | Dividend | M | T | | | | | |
| 65. Matthews Asia Dividend Fund | B | Dividend | M | T | | | | | |
| 66. Schwab Balanced Fund | E | Dividend | M | T | | | | | |
| 67. Schwab Total Stock Market Fund | D | Dividend | M | T | Buy (add'l) | 11/17/22 | M | | |
| 68. Schwab Markettrack Fund | D | Dividend | M | T | Buy (add'l) | 11/17/22 | M | | |

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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| A | | B | | C | | D | | | | |
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| 69. | MISC. | | | | | | | | | |
| 70. | RBC Insured Deposits | A | Interest | M | T | | | | | |
| 71. | Schwab Bank Sweep | A | Dividend | L | T | | | | | |
| 72. | Wells Fargo Bank | | None | J | T | | | | | |
| 73. | Fidelity Govt Cash Reserve Fund | A | Interest | L | T | | | | | |
| 74. | Vanguard Cash Reserve | A | Dividend | J | T | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
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| Name of Person Reporting | Date of Report |
|---|---|
| **LOKEN, JAMES B.** | 05/10/2023 |

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

| Name of Person Reporting | Date of Report |
|---|---|
| **LOKEN, JAMES B.** | 05/10/2023 |

## 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/ JAMES B. LOKEN**

**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)**

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite G-330
One Columbus Circle, N.E.
Washington, D.C. 20544