AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2022

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
Nelson, Susan	U.S. District Judge, District of Minnesota	05/12/2023
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**
U.S. District Judge (Senior)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final	01/01/2022 **to** 12/31/2022
	5b. ☐ Amended Report	
7. Chambers or Office Address		
316 N. Robert Street St. Paul, MN 55101		

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.	Member	University of St. Thomas School of Law Board of Governors
2.	Member	Advisory Board, Minnesota Women Lawyers
3.	Member	Board of the Infinity Project
4.		
5.		

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

☑ NONE *(No reportable agreements.)*

	DATE	PARTIES AND TERMS
1.		
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.			
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.	2022	Stinson Leonard Street LLP (salary)
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
Nelson, Susan	05/12/2023

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. Alerus Bank (cash)	A	Interest	J	T					
3. Wells Fargo Diversified Capital Fund (EKBBX)		None			Sold	03/24/22	M		
4. Nuveen Mid-Cap Select Fund (FITBX)		None			Sold	03/24/22	J		
5. Account #1 (H)									
6. UBS Bank USA (cash)	A	Interest	J	T	Open	12/02/22	J		
7. Americanbn Lndn Inc Eq Y (ABCYX)	B	Dividend	L	T	Buy	12/13/22	L		
8. Brown Advisory Sustainable Growth Fund (BAFWX)	A	Dividend	L	T	Buy	12/13/22	L		
9. JP Morgan International Equity Fund (VSIEX)	A	Dividend	K	T	Buy	12/13/22	K		
10. Virtus Kar Small-Mid Cap Core Fund (VKSIX)		None	K	T	Buy	12/13/22	K		
11. Mitsubishi UFJ Finl Group Inc (606822BA1)		None	J	T	Buy	12/28/22	J		
12. Goldman Schs Group Inc (38141GVM3)		None	J	T	Buy	12/14/22	J		
13. Mitsubishi UFJ Fin Grp (606822BD5)		None	J	T	Buy	12/14/22	J		
14. JPMorgan Chase & Co (46647PBZ8)		None	J	T	Buy	12/14/22	J		
15. Morgan Stanley (61746BDQ6)		None	J	T	Buy	12/14/22	J		
16. PNC Financial Services (693475AP0)		None	J	T	Buy	12/14/22	J		
17. Royal Bk of Canada (78016EZH3)		None	J	T	Buy	12/14/22	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	
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18. Sherwin-Williams Co (824348BQ8)		None	J	T	Buy	12/14/22	J		
19. Bank of Amer Corp (06051GFH7)		None	J	T	Buy	12/14/22	J		
20. Bk of Nova Scotia (064159TF3)		None	J	T	Buy	12/14/22	J		
21. Cheniere Corp Christi HD (16412XAC9)		None	J	T	Buy	12/14/22	J		
22. Wells Fargo & Co (95000U2T9)		None	J	T	Buy	12/14/22	J		
23. Fiserv Inc (337738AP3)		None	J	T	Buy	12/14/22	J		
24. Paypal Hldgs Incorp (70450YAG8)		None	J	T	Buy	12/14/22	J		
25. Pacific Gas & Elec Co (694308JL2)		None	J	T	Buy	12/14/22	J		
26. Morgan Stanley Nt Intl (6174468J1)		None	J	T	Buy	12/14/22	J		
27. Charter Comm Opt (161175AY0)		None	J	T	Buy	12/14/22	J		
28. Amer Express Co (025816CY3)		None	J	T	Buy	12/14/22	J		
29. Canadian Imperial Bank (13607H6M9)		None	J	T	Buy	12/14/22	J		
30. DTE Energy Co NTS (233331BD8)		None	J	T	Buy	12/14/22	J		
31. Comcast Corp (20030NDZ1)		None	J	T	Buy	12/14/22	J		
32. Astrazeneca PLC (046353AL2)		None	J	T	Buy	12/14/22	J		
33. Sumitomo Mitsui Finl Group (86562MBF6)		None	J	T	Buy	12/29/22	J		
34. JPMorgan Hedged Equity 2 (JHQDX)	A	Dividend	K	T	Buy	12/13/22	K		

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35.	Schwab Government Money Sweep (SWGXX) (cash)	A	Interest			Sold (part)	01/14/22	J		
36.						Sold (part)	04/18/22	J		
37.						Sold (part)	08/11/22	J		
38.						Sold	09/15/22	J		
39.	Invesco Preferred ETF (PGX)	A	Dividend			Sold	12/13/22	J		
40.	Ishares China Large Cap ETF (FXI)	A	Dividend			Sold	12/13/22	J		
41.	Ishares International Sel Div ETF (IDV)	A	Dividend			Buy (add'l)	08/09/22	J		
42.						Sold	12/13/22	J		
43.	Ishares MSCI Eaf Min Vol Fct ETF (EFAV)	A	Dividend			Sold	12/13/22	J	A	
44.	Ishs MSCI Emerg Mrkt Min Vol Fct ETF (EEMV)	A	Dividend			Sold	12/13/22	J		
45.	SPDR Blmbrg Brcly Inv Gr Fltn ETF (FLRN)	A	Dividend			Sold	12/13/22	K		
46.	SPDR Intrmdt Trm Crprate Bnd ETF (SPIB)	B	Dividend			Sold	12/13/22	K		
47.	SPDR S&P 500 ETF (SPY)	A	Dividend			Sold	12/13/22	K	D	
48.	SPDR Short Term Corporate Bnd ETF (SPSB)	A	Dividend			Sold (part)	09/13/22	J		
49.						Sold	12/13/22	K		
50.	Vanguard FTSE All World Ex US ETF (VEU)	A	Dividend			Buy (add'l)	08/09/22	J		
51.						Sold	12/13/22	K	C	

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52. Vanguard FTSE Emerging Markets ETF (VWO)	A	Dividend			Sold	12/13/22	J		
53. Vanguard High Dividend Yield ETF (VYM)	A	Dividend			Sold	12/13/22	K	D	
54. Vanguard Intrmdiat Trm Trsry ETF (VGIT)	A	Dividend			Sold	12/13/22	K		
55. Vanguard Real Estate ETF (VNQ)	A	Dividend			Sold	12/13/22	J	A	
56. Vanguard Shrt Inf Prot Sec Index ETF (VTIP)	B	Dividend			Sold	12/13/22	K		
57. Vanguard Short Term Cor Bd ETF (VCSH)	A	Dividend			Sold	12/13/22	L		
58. Vanguard Short-Term Bond ETF (BSV)	A	Dividend			Sold	12/13/22	K		
59. Vanguard Small Cap Value ETF (VBR)	A	Dividend			Sold	12/13/22	J	B	
60. Vanguard Total Bond Market ETF (BND)	A	Dividend			Buy (add'l)	09/13/22	J		
61.					Sold	12/13/22	K		
62. Vanguard Value ETF (VTV)	A	Dividend			Sold	12/13/22	K	D	
63. Wisdom Tree Interna Ai End Valu ETF (AIVI)	A	Dividend			Sold	08/09/22	J		
64. Account #2 (H)									
65. Dodge & Cox Intl Stock (DODFX)		None	L	T					
66. Vanguard Retirement Savings Trust III	A	Dividend	K	T					
67. Vanguard Total Bond Market Instl (VBTIX)	B	Dividend	L	T					
68. Frost Total Return Bond Instl (FIJEX)	B	Dividend	K	T					

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69.	Vanguard Target Retirement 2020 Tr II		None	K	T	Buy (add'l)	01/04/22	K		
70.						Buy (add'l)	04/04/22	J		
71.						Buy (add'l)	07/05/22	J		
72.						Buy (add'l)	10/04/22	J		
73.	Vanguard Target Retirement Inc Tr II	A	Dividend	N	T					
74.	Vanguard Equity Income Fund Adm (VEIRX)	C	Dividend	K	T					
75.	Vanguard Inst Index Fund (VINIX)	C	Dividend	M	T					
76.	Account #3 (H)									
77.	UBS Insured Sweep (cash)	A	Interest	K	T					
78.	UBS Select Prime Institutional Fund (SELXX)	B	Dividend	N	T	Buy	11/14/22	N		
79.						Sold (part)	11/28/22	L		
80.	GS Finance Corp L/O TC-YN Ruj SVX	B	Interest	K	T	Buy	03/09/22	K		
81.	UBS AG L/O TC-YN Indu TRY	B	Interest	K	T	Buy	03/23/22	K		
82.	Bofa Finance LLC TC-YN	A	Interest	K	T	Buy	05/04/22	K		
83.	Citigroup Inc NTS B/E (17290AE89)	B	Interest	L	T	Buy	04/19/22	L		
84.	Royal Bk of Canada (78014REN6)	B	Interest	L	T	Buy	05/13/22	L		
85.	California Health Facs F Sr A RV (13033LYS0)	B	Interest			Redeemed	08/15/22	L		

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86. Broward Cnty Fl Wtr & Sr A (115117KK8)	D	Interest			Redeemed	10/01/22	M		
87. Metropolitan Transn Auth Rv (59261AUU9)	C	Interest			Redeemed	11/15/22	L		
88. New Jersey Econ Dev Auth Rv Pref (64577XAB2)	A	Interest	J	T					
89. NJ Eco Dv Uth Sch Facs Sr II Rv (645918M67)	C	Interest	L	T					
90. California Health Facs F Rv Pref (13032UXG8)	B	Interest	K	T					
91. New Jersey Trans Trust A-1 Rv (6461362B6)	A	Interest	K	T					
92. Ft Pierce Fl Utils Assur Rv (348430NW5)	B	Interest			Redeemed	06/21/22	K		
93. Liberty N Y Dev Corp Rev (531127AC2)	C	Interest	L	T					
94. Chicago IL O Hare Intl A Sr C Rv (167593VT6)	C	Interest	L	T					
95. New York Transn Dev Corp Rv (650116CQ7)	C	Interest	L	T					
96. Bexar Cnty TX For Issue 2017 (088281D64)	B	Interest	K	T					
97. New Jersey Econ Dev Auth Rv (64577XAE6)	B	Interest	L	T					
98. Met Govt Nashville & Dav Sr A Rv (592041WG8)	D	Interest	M	T					
99. Massachusets St Dev Fin Rv (57584XEH0)	C	Interest	L	T					
100. Massachusets St Dev Fin Rv (57584YAG4)	C	Interest	L	T					
101. Hillsborough Cnty Fl Av Sr A Rv (432275AA3)	C	Interest	M	T					
102. Alachua Co Fl Hfa Sr A Rv (010685KF1)	C	Interest	L	T					

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103. Pennsylvania St Tpk Comm Sr C Rv (709224FT1)	C	Interest	M	T					
104. New Jersey St Tpk Auth Sr E (6461395W1)	C	Interest	M	T					
105. Edinburg TX Loc Govt FI Assur Sr a Rv (208797AS0)	C	Interest	L	T					
106. The City of NY Sr E (64966MXP9)	B	Interest	L	T					
107. New York St HSG Fin Agy Sr C Rv (64987DVQ4)	B	Interest	K	T					
108. Omaha Pub Pwr Dist NE Sr A Rv (682004FH4)	B	Interest	K	T					
109. California Health Facs F Rv (13032UXH6)	C	Interest	L	T					
110. Sarasota Cnty Fla Pub 2018 Rv (83301DK3)	A	Interest	J	T					
111. Stephen F Austin St Univ Sr A Rv (8586203B1)	C	Interest	L	T					
112. Massachusetts St Transn Sr A Rv (57604THJ8)	B	Interest	K	T					
113. New York City Hsg A-3 Rv (64972EDB2)	C	Interest			Redeemed (part)	03/31/22	J		
114.					Sold	11/16/22	L		
115. New York City Hsg Dev E-1 Rv (64972EHN2)	B	Interest			Sold	11/16/22	K		
116. Citigroup Global Markets A-MLN SPX (17330PKB4)	A	Interest	L	T	Buy	06/27/22	L		
117. Blackstone Private Credit (189997J83)	D	Interest	L	T					
118. Starwood Real Estate Income Trust, Inc Escrow (85571B907)	B	Interest	M	T	Buy (add'l)	11/25/22	L		
119. Citigroup Glob Mark Hldgs Inc (17330PCE7)	B	Interest	L	T	Buy	07/18/22	L		

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
Nelson, Susan	05/12/2023

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)
120. Account #4 (H)									
121. UBS Bank USA (cash) (X)	A	Interest	J	T					
122. Ishares Russell 1000 Growth ETF (IWF)	A	Dividend			Buy	11/16/22	M		
123.					Sold	12/21/22	M		
124. Americanbn Lndn Inc Eq Y (ABCYX)	D	Dividend	M	T	Buy	01/12/22	K		
125. Brown Advisory Sustainable Growth Fund Class insitutional (BAFWX)		None	M	T	Buy	01/12/22	K		
126.					Sold	11/16/22	M		
127.					Buy	12/21/22	M		
128. UBS US Dividend Ruler Price Fund Class P (DVRUX)	B	Dividend	L	T	Buy	01/12/22	J		
129.					Sold (part)	07/29/22	J		
130. UBS US Quality Growth at Responsible Price Fund Class P (QGRPX)	A	Dividend	K	T	Buy	01/12/22	J		
131. Virtus Kar Small-Mid Cap Core Fund Class I (VKSIX)		None	L	T	Buy	01/12/22	K		
132. Account #5 (H)									
133. UBS Bank USA (cash)	A	Interest	J	T	Open	11/28/22	M		
134. Connecticut St Sp Tax Ob (207758B36)		None	J	T	Buy	12/06/22	J		
135. Cook Cnty Il Sch N O 105 (214489BK1)		None	J	T	Buy	12/12/22	J		
136. Sharonville Oh Spl Obl I Build (819878AQ2)		None	J	T	Buy	12/09/22	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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3 Value Method Codes (See Column C2)
Q =Appraisal R =Cost (Real Estate Only) S =Assessment T =Cash Market
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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	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)
137. Pinckney Mi Cmnty Schs L (722205NB3)		None	J	T	Buy	12/02/22	J		
138. Northside Tx Indpt Sch D (66702RKN1)		None	J	T	Buy	12/12/22	J		
139. Kentucky Infras Auth (4913137F3)		None	J	T	Buy	12/20/22	J		
140. Alabama Fed Aid Hwy Fin (010268CC2)		None	J	T	Buy	12/15/22	J		
141. Louisiana Loc Govt Envir (54628CKA9)		None	J	T	Buy	12/15/22	J		
142. Blue Springs Mo (096045HJ1)		None	J	T	Buy	12/23/22	J		
143. Boward Cnty Fl Tourist (115085AE2)		None	J	T	Buy	12/28/22	J		
144. Clark Cnty Nev (181006HM2)		None	J	T	Buy	12/23/22	J		
145. Matanuska- Susitna Boro A (576553BR1)		None	J	T	Buy	12/22/22	J		
146. Account #6 (H)									
147. Voya Tomorrow's Scholar 529 Conservative Plus		None	K	T	Buy	02/03/22	J		
148.					Buy (add'l)	06/03/22	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
Nelson, Susan	05/12/2023

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 45 of the filing instructions.

Parenthetical numbers in Part VII are CUSIP numbers.

Name of Person Reporting	Date of Report
Nelson, Susan	05/12/2023

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

Signature: s/ Susan Nelson

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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