

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Tunheim, John R.	2. Court or Organization District of Minnesota	3. Date of Report 05/15/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address 13E 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director	Norwegian-American Historical Association (nonprofit organization)
2. Director	Federal Bar Association, Minnesota Chapter
3. Advisor, Chair	Advisory Board to the Hubert H. Humphrey School of Public Affairs at the University of Minnesota
4. Regent, Chair	Concordia College, Moorhead, MN
5. Member	National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN
6. Board Member	Board of Advisors, University of Minnesota Law School, Minneapolis, MN
7. Member	Corporate Institute Board of Advisors, University of Minnesota Law School
8. Member	Minnesota Law Review Alumni Advisory Board, University of Minnesota Law School
9. Council Member	Govt & Public Sector Lawyers Division, American Bar Association
10. Council Member	Central and European and Eurasian Law Initiative, American Bar Association
11. Advisory Committee Member	Standing Committee of Law and National Security, American Bar Association
12. Task Force Chair	Prosecution and Defense Function Standards Task Force, Criminal Justice Section, American Bar Association
13. Co-Chair	The Fellows of the American Bar Foundation, American Bar Foundation
14. Board Member and Chair	The Oslo Center for Peace and Human Rights-U.S. Foundation
15. Member	Board of Trustees for the Oslo Center for Peace and Human Rights - Norway

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16. Board Member

The Rand Institute for Civil Justice

17. Executor

Estate #1

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

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.
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. 2013	International Foundation for Electoral Systems - compensation (USAID directed and funded)	\$9,540.00
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. 2013	Self employed Public Relations Consultant
2. 2013	Landscape Structures Inc., Delano, MN (Board Member compensation)
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. American Bar Association	Feb. 7-10	Dallas, TX	Mid-Year Meeting	Transportation, meals and lodging
2. American Bar Association, Criminal Justice Section	Jan. 25-27; Nov. 1-3	Washington, DC	Task Force meeting	Transportation, meals and lodging
3. American Bar Association, Criminal Justice Section	May 10-12	Boc Raton, FL	Task Force meeting	Transportation, meals and lodging
4. American Bar Association	August 7-11	San Francisco, CA	Annual Meeting	Transportation, meals and lodging
5. Concordia College	April 25-27	Moorhead, MN	Meeting	Transportation and lodging
6. Concordia College	Jan 17-19; May 16-18; Sept. 26-28	Moorhead, MN	Board Meeting	Transportation, meals and lodging

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7.	American Conference Institute	Jan. 31-Feb. 1; Dec. 9-11	New York, NY	Class Actions CLE (teach); Medical Device CLE (teach)	Transporation and lodging
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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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) 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. Hiway Federal Credit Union Accounts	A	Interest	J	T					
2. State of Minnesota Deferred Compensation Account	A	Int./Div.	J	T					
3. Honeywell Retirement Benefit Plan	A	Int./Div.	M	T					
4. Atlas Energy for the Nineties Public Officer #4 (Y)									
5. Wells Fargo Bank Accounts	A	Interest	K	T					
6. Schwab Advisory Cash Reserve		None	J	T					
7. American Funds: American Balanced Fund C I F	C	Dividend	M	T	Buy (add'l)	5/28/13	J		
8. American Funds: Washington Mutual Investors	B	Dividend	K	T					
9. American Funds: Investment Co of America C I F	C	Dividend	K	T	Buy (add'l)	5/28/13	J		
10. Baron Asset		None			Sold	5/28/13	K	B	
11. Hartford MidCap C I I	B	Dividend	K	T	Buy	5/28/13	K		
12. American Funds: Capital World Growth & Income	B	Dividend	K	T	Buy (add'l)	5/28/13	J		
13. Royce Total Return	B	Dividend	K	T					
14. American Funds: New World Fund	A	Dividend	J	T	Sold (part)	5/28/13	J	A	
15. American Funds: Capitol Income Builder	B	Dividend			Buy (add'l)	5/28/13	J		
16.					Sold	11/26/13	K	C	
17. BlackRock Global Allocation C I A	B	Dividend	K	T	Buy	11/26/13	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18.					Buy (add'l)	11/26/13	J		
19. Schwab Advisor Cash Reserve		None	J	T					
20. American Funds: Growth Fund of America	B	Dividend	K	T					
21. American Funds: Investment Co. of America C1 R3	B	Dividend	K	T					
22. American Funds: EuroPacific Fund	A	Dividend	J	T					
23. American Funds: American Balanced CL R3	A	Dividend	K	T					
24. American Funds: Bond Fund of America	A	Dividend	K	T					
25. Vanguard Selected Value	B	Dividend	K	T	Buy (add'l)	5/28/13	J		
26. Dodge & Cox Income	A	Dividend			Sold	5/28/13	J	A	
27. American Funds: Bond Fund of America C1 A [edj]	A	Dividend	J	T					
28. American Funds: Capital Incom Bldr Fund A [edj]	A	Dividend	J	T					
29. American Funds: Capital World Grw & Inc Fund A[edj]	A	Dividend	J	T					
30. American Funds: Washington Mutual Invs Fd C1 A [edj]	A	Dividend	J	T					
31. Estate #1 (Y)									
32. - [redacted] farmland, Marshall County, MN (\$90,000) (Y)									
33. - townhome, Pelican Rapids, MN (\$75,000) (Y)									
34. Thrivent Financial for Lutherans: Deferred Income	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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35. farmland, Marshall County, MN (X)		None	K	W					

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, page 6, line 4 - Atlas Energy for the Nineties Public Officer #4 account was liquidated on 12/31/13 and had no value.

Part VII, page 6, line 7 - American Funds: American Balanced Fund C1 F - Type was inadvertently listed as "SOLD" on the Financial Disclosure Report for Calendar Year 2012. That entry should have been "SOLD part"

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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/ **John R. Tunheim**

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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