

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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 02/04/2019
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 01/01/2017 to 12/31/2017
7. Chambers or Office Address 15 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	CEELI Institute, Prague
3. Advisor, Chair	Advisory Board to the Humphrey School of Public Affairs at the University of Minnesota
4. Member	National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN
5. Board Member	Board of Advisors, University of Minnesota Law School, Minneapolis, MN
6. Member	Minnesota Law Review Alumni Advisory Board, University of Minnesota Law School
7. Council Member	Govt & Public Sector Lawyers Division, American Bar Association
8. Council Member, Chair	Central and European and Eurasian Law Institute, American Bar Association
9. Co-Chair	The Fellows of the American Bar Foundation, American Bar Foundation -- Minnesota Chapter
10. Member	Board of Trustees for the Oslo Center for Peace and Human Rights - Norway
11. Board Member	The RAND Institute for Civil Justice
12. Board Member	Duke Law Center for Judicial Studies Board
13. Committee Member	Criminal Justice Section, American Bar Association
14. Board Member	Rule of Law Initiative Council, American Bar Association
15.	

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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. January 1	Conservation Reserve Program, Farm Service Agency, USDA	\$9,000.00
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. 2017	Self employed Public Relations Consultant
2. 2017	Landscape Structures, Inc., Delano, MN (Board Member compensation)
3. 2017	McKnight Foundation
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 - Govt & Public Sector Lawyers Div.	February 3-5, 2017	Miami, FL	Council Meeting	Transportation, meals and lodging
2. CEELI Institute	March 20-22	Prague, Czech Republic	Conference (speaker)	Transportation, meals and lodging
3. ABA Rule of Law Initiative	May 3-5	Washington, DC	Board Meeting	Transportation, meals and lodging
4. American Bar Association of Criminal Justice Section	November 3-4	Washington, DC	Council Meeting	Transportation, meals and lodging
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
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. Schwab Bank Sweep (formerly Schwab Bank Deposit)	A	Int./Div.	J	T					
2. American Funds: American Balanced Fund C1 F1		None			Sold	1/12/17	M		
3. Vanguard Strategic SmallCap Equity Fund Inv	B	Dividend	K	T					
4. American Funds: New World Fund C1 F1		None			Sold	01/12/17	J		
5. BlackRock Global Allocation Fund C1 A		None			Sold (part)	04/17/17	J		
6.					Sold	05/18/17	L		
7. Schwab Bank Sweep (formerly Schwab Bank Deposit)	A	Interest	J	T					
8. American Funds: Growth Fund of America C1 Re	C	Dividend	L	T					
9. American Funds: Investment Co of Amer Fund C1 R3	C	Dividend	L	T					
10. American Funds: EuroPacific Growth Fund C1 R3	A	Dividend	K	T					
11. American Balanced Fund C1 F1		None			Sold	01/12/17	K		
12. American Funds: American Balanced Fund C1 R3	C	Dividend	L	T	Buy (add'l)	01/23/17	J		
13.					Buy (add'l)	01/31/17	J		
14.					Buy (add'l)	02/17/17	J		
15.					Buy (add'l)	02/28/17	J		
16.					Buy (add'l)	03/10/17	J		
17.					Buy (add'l)	04/17/17	J		

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)	04/21/17	J		
19.					Buy (add'l)	05/05/17	J		
20.					Buy (add'l)	05/22/17	J		
21.					Buy (add'l)	06/16/17	J		
22.					Buy (add'l)	06/30/17	J		
23.					Buy (add'l)	07/19/17	J		
24.					Buy (add'l)	07/31/17	J		
25.					Buy (add'l)	08/22/17	J		
26.					Buy (add'l)	08/30/17	J		
27.					Buy (add'l)	10/03/17	J		
28. Fidelity Balanced Fund	C	Dividend	L	T	Buy (add'l)	04/18/17	J		
29. James Balanced Golden Rainbow Fund	A	Dividend			Sold	04/17/17	L	B	
30. American Funds: Bond Fund of America C1 R3	A	Dividend	K	T					
31. BlackRock Global Allocation Fund C1 Instl	C	Dividend	L	T	Buy	05/18/17	L		
32. American Funds: American Balanced Fund C1 F2	C	Dividend			Buy	01/12/17	M		
33.					Sold (part)	09/14/17	N		
34.					Sold	10/12/17	J		

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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	
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35. American Funds: American Balanced Fund C1 F3	D	Dividend	N	T	Buy	09/14/17	N		
36.					Sold (part)	09/21/17	J	A	
37.					Buy (add'l)	10/12/17	J		
38. American Funds: New World Fund C1 F2	A	Dividend	K	T	Buy	01/12/17	J		
39. American Funds: American Balanced Fund C1 F2	C	Dividend	L	T	Buy	01/12/17	K		
40.					Buy (add'l)	04/17/17	K		
41. Mairs & Power Balanced	B	Dividend	K	T	Buy	04/17/17	K		
42. Wells Fargo Bank Accounts	A	Interest	K	T					
43. Hiway Federal Credit Union Accounts	A	Interest	J	T					
44. Honeywell Retirement Benefit Plan	A	Int./Div.	M	T					
45. State of Minnesota Deferred Compensation Account	A	Int./Div.	J	T					
46. Farmland, Marshall County, MN	D	Rent	K	W					
47. American Funds: Capital Income Bldr Fund A	B	Dividend	J	T					
48. American Funds: Capital World Grw & Inc. Fund A	A	Dividend	J	T					
49. American Funds: Washington Mutual Invs Fd C1 A	B	Dividend	J	T					
50.									

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

III. Non-Investment Income. Although payment is from the Federal Government, I am listing payment received from the Conservation Reserve Program, Farm Service Agency, USDA in this section as well as section VII.

VII. "Schwab Bank Deposit" is now known as "Schwab Bank Sweep."

Line 46 has been reported on previous reports. In 2016 I entered into an agreement with the Conservation Reserve Program, Farm Service Agency, USDA, and receive income. The "Type" of income listed does not describe these payments, so I selected "RENT". The CRP payments have been listed in both sections III and VII.

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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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