

FINANCIAL DISCLOSURE REPORT
INITIAL FILINGReport Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Constantine, Katherine A.	2. Court or Organization U.S. Bankruptcy Court, Minnesota	3. Date of Report 10/23/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 09/30/2013
7. Chambers or Office Address 206 U.S. Courthouse 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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Member of the Board of Directors and Finance Committee	Minnesota Life College
2. Member of the Board of Directors	The ARC Greater Twin Cities
3. Partner	Dorsey & Whitney LLP
4. Partner	Steep Earning Curve
5. Trustee	Trust #1
6. Conservator/Guardian/Payee	Twin City Federal Account #1
7. Member	Law Alumni Board of Georgetown University Law Center

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)
☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2013	Dorsey & Whitney LLP (former law firm); see Part VIII
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. 2011	Dorsey & Whitney LLP-partner compensation	\$456,696.00
2. 2012	Dorsey & Whitney LLP-partner compensation	\$640,344.00
3. 2013	Dorsey & Whitney LLP-partner compensation	\$162,717.00
4. 2013	Dorsey & Whitney LLP-retirement, pension and refund of capital contribution	\$107,195.00

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. 2012	Brocade Communication Systems, Inc. - salary & bonus
2. 2013	Brocade Communication Systems, Inc. - salary & bonus
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. Exempt				
2.				
3.				
4.				
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.)*

	SOURCE	DESCRIPTION	VALUE
1.	Exempt		
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.			

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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. Brokerage #1 (H)					Exempt				
2. -Alps (ETF)	A	Dividend	J	T					
3. -AT&T (common)	A	Dividend	J	T					
4. -Proctor & Gamble (common)	A	Dividend	J	T					
5. -Southern Co. (common)	B	Dividend	J	T					
6. -Target (common)	A	Dividend	J	T					
7. -Teco Energy (common)	A	Dividend	J	T					
8. -Xcel Energy (common)	A	Dividend	J	T					
9. -Powershares Finl pfd (ETF)	B	Dividend	K	T					
10. -SAFRA Natl Bk (C.D.)		None	K	T					See Part VIII
11. -CIT Bk (C.D.)	A	Interest	K	T					
12. -GE Cap Finl (Bond)	A	Interest	K	T					
13. -Goldman Sachs Bk (C.D.)	A	Interest	K	T					
14. -Freeborn Cnty MN GO (Bond)	A	Interest	K	T					
15. -Sartell Mn GO (Bond)	A	Interest	K	T					
16. -Deer River MN GO (Bond)	B	Interest	K	T					
17. -MN Hsg Pub Svc Rev (Bond)	A	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
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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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18. -Mpls MN Library GO (Bond)	A	Interest	K	T					
19. -MN Streets/Hwys GO (Bond)	A	Interest	K	T					
20. -Mpls MN Spl Sch Dist GO (Bond)	A	Interest	K	T					
21.									
22. Brokerage #2 (H)									
23. -US Gov't Money Mkt Fd (Mutual Fd)	A	Dividend	J	T					
24. -Metropolitan West Ttl Retrn (Mutual Fd)	B	Dividend	K	T					
25. -MFS Div Income (Mutual Fund)	A	Dividend	K	T					
26. -Pimco Total Return (Mutual Fd)	A	Dividend							
27. -Anoka Cnty MN GO (Bond)	B	Interest	K	T					
28. -GE Capital (Bond)	A	Interest							
29.									
30. Brokerage #3 (H)									
31. -RBC Prime Money Mkt FD (Mutual Fund)	A	Dividend	K	T					
32. -AMC Networks (common)		None	J	T					See Part VIII
33. -Abercrombie & Fitch (common)	A	Dividend							
34. -Alliant Energy (common)	A	Dividend							

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35. -Allstate Corp (common)	A	Dividend							
36. -American Electric (common)	A	Dividend							
37. -American Express (common)	A	Dividend							
38. -American Int'l (common)	A	Dividend							
39. -Ametek (common)	A	Dividend	J	T					
40. -Andarko Pete (common)	A	Dividend	J	T					
41. -Analog Devices (common)	A	Dividend							
42. -Apple (common)	A	Dividend	J	T					
43. -Archer Daniels Midland (common)	A	Dividend	J	T					
44. -Avago Tech (common)	A	Dividend	J	T					
45. -AT & T (common)	A	Dividend							
46. -Bank of America (common)	A	Dividend							
47. -Baxter Int'l (common)	A	Dividend							
48. -Biogen Idec (common)		None	J	T					See Part VIII
49. -Boeing (common)		None	J	T					See Part VIII
50. -Bristol Meyers Squibb (common)	A	Dividend	J	T					
51. -Broadcom Corp (common)	A	Dividend							

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52. -Brown & Brown (common)	A	Dividend							
53. -Caterpillar (common)	A	Dividend							
54. -CenturyLink (common)	A	Dividend							
55. -Chevron Corp (common)	A	Dividend	J	T					
56. -Church & Dwight Co (common)	A	Dividend	J	T					
57. -Cisco Systems (common)	A	Dividend	J	T					
58. -Citigroup (common)	A	Dividend							
59. -Coca Cola (common)	A	Dividend							
60. -Comcast Corp (class A)	A	Dividend	J	T					
61. -Conagra Foods (common)	A	Dividend							
62. -Conoco Phillips (common)	A	Dividend							
63. -Continental Resources (common)		None	J	T					See Part VIII
64. -Costco Wholesale (common)		None	J	T					See Part VIII
65. -Cummins (common)	A	Dividend	J	T					
66. -CVS Caremark (common)	A	Dividend							
67. -Danaher Corp (common)	A	Dividend							
68. -Deere & Co. (common)	A	Dividend							

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69. -Devon Energy (common)	A	Dividend							
70. -Discover Financial (common)	A	Dividend							
71. -E I Dupont (common)	A	Dividend							
72. -Eaton Corp (common)	A	Dividend							
73. -Ebay (common)	A	Dividend	J	T					
74. -EMC Corp (common)	A	Dividend							
75. -Eli Lilly (common)	A	Dividend	J	T					
76. -Enesco PLC (class A)	A	Dividend							
77. -EOG Resources (common)	A	Dividend	J	T					
78. -Exxon Mobile (common)	A	Dividend							
79. -Fifth Third Bancorp (common)	A	Dividend							
80. -Forest Laboratories (common)		None	J	T					See Part VIII
81. -Freeport McMoran (class B)	A	Dividend							
82. -Gallagher Arthur J & Co (common)	A	Dividend							
83. -General Electric (common)	A	Dividend							
84. -General Motors (common)		None	J	T					See Part VIII
85. -Goldman Sachs Group	A	Dividend							

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86. -H J Heinz (common)	A	Dividend							
87. -Google (common)		None	J	T					See Part VIII
88. -Henry Schein (common)		None	J	T					See Part VIII
89. -Home Depot (common)	A	Dividend	J	T					
90. -Intel Corp (common)	A	Dividend							
91. -IBM (common)	A	Dividend							
92. -International Paper (common)	A	Dividend	J	T					
93. -Invesco Ltd (common)	A	Dividend							
94. -Johnson & Johnson (common)	A	Dividend	J	T					
95. -Kohls Corp	A	Dividend							
96. -KBR (common)	A	Dividend	J	T					
97. -KLA -Tencor (common)	A	Dividend	J	T					
98. -Lowes Co (common)	A	Dividend							
99. -LSI Corp (common)	A	Dividend	J	T					
100. -Lyondellbasell Ind (class A)	A	Dividend	J	T					
101. -Merck & Co (common)	A	Dividend	J	T					
102. -MetLife (common)	A	Dividend							

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103. -Michael Kors Hldgs (ordinary)		None	J	T					See Part VIII
104. -Microsoft (common)	A	Dividend							
105. -Morgan Stanley (common)	A	Dividend							
106. -Murphy Oil (common)	A	Dividend							
107. -Newell Rubbermaid (common)	A	Dividend	J	T					
108. -New York Comm Bk (common)	A	Dividend							
109. -Nextera Energy (common)	A	Dividend	J	T					
110. -Nike (class B)	A	Dividend							
111. -Nisource Inc (common)	A	Dividend							
112. -Norfolk Southern Corp (common)	A	Dividend							
113. -Occidental Pete (common)	A	Dividend	J	T					
114. -Oracle Corp (common)	A	Dividend	J	T					
115. -Paccar Inc (common)	A	Dividend							
116. -Parker Hannifin (common)	A	Dividend	J	T					
117. -Pepsi (common)	A	Dividend	J	T					
118. -Pfizer (common)	A	Dividend							
119. -Pioneer Natural Res (common)	A	Dividend							

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120. -Polaris Ind (common)	A	Dividend							
121. -Potash Corp (common)	A	Dividend							
122. -Precision Castparts (common)	A	Dividend	J	T					
123. -Priceline (common)		None	J	T					See Part VIII
124. -Proctor & Gamble	A	Dividend							
125. -Qualcomm	A	Dividend	J	T					
126. -Ralcorp Holdings	A	Dividend							
127. -Raytheon (common)	A	Distribution							
128. -Reliance Steel & Alum (common)	A	Dividend							
129. -Schlumberger Ltd (common)	A	Dividend	J	T					
130. -Sector Spdr (ETF)	A	Dividend	K	T					
131. -Simon Property Grp (common)	A	Dividend							
132. -Stryker Corp (common)	A	Dividend	J	T					
133. -Target (common)	A	Dividend							
134. -The Travelers (common)	A	Dividend							
135. -Timken (common)	A	Dividend	J	T					
136. -Triumph Grp (common)	A	Dividend	J	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
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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Constantine, Katherine A.

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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)
137. -TRW Automotive (common)		None	J	T					See Part VIII
138. -UDR Inc (common)	A	Dividend							
139. -Union Pacific Corp (common)	A	Dividend	J	T					
140. -United Technologies (common)	A	Dividend							
141. -United Health Grp (common)	A	Dividend							
142. -US Bancorp (common)	A	Dividend							
143. -Valero Energy (common)	A	Dividend							
144. -Verizon Commun (common)	A	Dividend							
145. -Visa (common)	A	Dividend							
146. -Walgreens (common)	A	Dividend							
147. -Walt Disney (common)	A	Dividend	J	T					
148. -Walter Energy (common)	A	Dividend							
149. -Wells Fargo (common)	A	Dividend							
150. -Western Digital (common)	A	Dividend							
151. -Weyerhaeuser Co (common)	A	Dividend							
152. -Whirlpool Corp (common)	A	Dividend	J	T					
153. -Xilinx (common)		None	J	T					See Part VIII

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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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)
154. -Yahoo (common)		None	J	T					See Part VIII
155. -Zimmer Holdings (common)	A	Dividend	J	T					
156.									
157. Brokerage #4 (H)									
158. -RBC Prime Money Market Fd (Mutual Fund)	A	Dividend							
159. -Fidelity New Insights (mutual fund)		None	K	T					See Part VIII
160. -Amer Fds Euro Pacific Gr (mutual fund)	A	Dividend	J	T					
161. -Thornburg Int'l Value (mutual fund)	A	Dividend	J	T					
162. -Amer Fds Capital Income Bldr (mutual fund)	A	Dividend	J	T					
163.									
164. Brokerage #5 (H)									
165. -RBC Prime Money Market Fd (mutual fund)	A	Dividend	J	T					
166. -Kayne Anderson (common)	B	Dividend	K	T					
167. -MN Higher Ed St. Ben (Bond)	B	Interest	K	T					
168. -Excel Energy (common)	B	Dividend	K	T					
169.									
170. Brokerage Account #6 (H)									

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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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)
171. -Federated Money Market Fd (mutual fund)	A	Dividend							
172. -GE Cap Retail Bk	B	Interest							
173. -Discover Bank (C.D.)	C	Interest							
174. -Wells Fargo Bond	B	Interest							
175. -Artisan Fund (mutual fund)	A	Dividend							
176. -Buffalo Fds (mutual fund)	B	Dividend							
177. -Dodge & Cox Fund (mutual fund)	B	Dividend							
178. -Line intentionally blank									
179. -Fidelity Contra (mutual fund)	A	Dividend							
180. -Metropolitan West (mutual fund)	D	Dividend							
181. -Parnassus Income Tr (mutual fund)	D	Dividend							
182. -Pimco Total Return (mutual fund)	D	Dividend							
183. -Line intentionally blank									
184. -T Rowe Price Gr Stk (mutual fund)	A	Dividend							
185. -Line intentionally blank									
186. -iShares Russell 1000 Gr (ETF)	A	Dividend							
187. -iShares Russell 1000 Value (ETF)	D	Dividend							

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 \$5,000,000	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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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)
188. -iShares S&P Sm Cap 600 (ETF)	A	Dividend							
189.									
190. Brokerage Acct #7 (H)									
191. -RBC Prime Money Market Fd (mutual fund)	A	Dividend	L	T					
192. -Federated Money Market (money market)	A	Dividend	M	T					
193. -Buffalo Fds (mutual Fund)		None	L	T					See Part VIII
194. -Dodge & Cox Fund (mutual fund)		None	L	T					See Part VIII
195. -Amer Fds Euro Pac Gr (mutual fund)		None	K	T					See Part VIII
196. -Fidelity New Insights (mutual fund)		None	L	T					See Part VIII
197. -Metropolitan West (mutual fund)		None	L	T					See Part VIII
198. -MFS Div Inc (mutual fund)		None	K	T					See Part VIII
199. -Parnassus Income Tr (mutual fund)		None	M	T					See Part VIII
200. -Royce Funds (mutual fund)		None	K	T					See Part VIII
201. -T Rowe Price Gr Stk (mutual fund)		None	M	T					See Part VIII
202. -Unified Ser Tr (mutual fund)		None	L	T					See Part VIII
203. -iShares Russell 1000 Gr (ETF)	A	Dividend	K	T					
204. -iShares Russell 1000 Value (ETF)	A	Dividend	M	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
205. -iShares S&P Sm Cap 600 (ETF)	A	Dividend	K	T					
206. -Powershares (ETF)		None	K	T					See Part VIII
207. -AXA Annuity		None	M	T					See Part VIII
208.									
209. Brokerage #8 (H)									
210. -RBC Prime Money Market Fd (mutual fund)	A	Dividend	J	T					
211. -American Century Eq Inc (mutual fund)	B	Dividend	L	T					
212. -Brocade Commun Syst (common)		None	J	T					See Part VIII
213. -Amer Fds Capital Inc Bldr (mutual fund)	A	Dividend	J	T					
214. -Columbia Acorn (mutual fund)	B	Dividend	K	T					
215. -Euro Pac Gr (cl c mutual fund)		None	K	T					See Part VIII
216. -Euro Pac Gr (cl f mutual fund)	A	Dividend	K	T					
217. -Fidelity New Insights (mutual fund)		None	M	T					See Part VIII
218. -Fidelity Adv Ser I (mutual fund)	A	Dividend							
219. -Fidelity Adv Ser II (mutual fund)	B	Dividend	K	T					
220. -Fundamental Invs (mutual fund)	A	Dividend	L	T					
221. -ING Emerg Countries (mutual fund)	A	Dividend							

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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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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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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		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)
222. -ING Mut Fd (mutual fund)	A	Dividend							
223. -Keeley Sm Cap Value (mutual fund)	A	Dividend	K	T					
224. -Metropolitan West (mutual fund)	B	Dividend	K	T					
225. -MFS Ser Tr XIII (mutual fund)	A	Dividend	J	T					
226. -Pimco Total Return (mutual fund)	B	Dividend							
227.									
228. Trust #1									
229. -RBC Prime Money Mkt Fd (mutual fund)	A	Dividend							
230. -MFS Ser Tr XIII (mutual fund)	A	Dividend	J	T					
231. -Pimco Total Return (mutual fund)	A	Dividend							
232.									
233. Steep Earnings Curve (investment club)	C	Dividend							See Part VIII
234. -Costco									
235. -Fastenal									
236.									
237. American Enterprise Inv. Svcs. (mutual fund)	B	Dividend	K	T					
238. Discover Financial Svcs. (common)	A	Dividend	K	T					

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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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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)

239. Honeywell Int'l. Inc. (common)	A	Dividend	K	T					
240. Morgan Stanley (common)	A	Dividend	J	T					
241. Allstate Corp. (common)	A	Dividend	K	T					
242. Sears Holding Corporation (common)	A	Interest	K	T					
243. Sears Canada (common)	A	Dividend	J	T					
244. U.S. Bank N.A. Accounts (cash & CDs)	A	Interest	M	T					
245. Twin City Federal Account (cash)		None	K	T					See Part VIII
246.									
247. Brokerage #9									
248. - E Trade cash reseve account		None	M	T					See Part VIII
249. -Brocade (common)		None	J	T					See Part VIII
250.									
251. Twin City Federal Account #1 (Conservator/ Guardian)		None	J	T					See Part VIII

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.)*

- 1) Part II: My former firm and I have not yet finalized our agreement providing for payments to me.
- 2) Part VII, line 10: No income received during reporting period as this is a recent acquisition which only pays once a year and payment date is after reporting period.
- 3) Part VII, lines 32, 48, 49, 63, 64, 80, 84, 87, 88, 123, 153, 195, 198, 206 and 215: No income received during reporting period as this is a recent acquisition.
- 4) Part VII, lines 103, 137, 154, 159, 196, 200, 202, 212, 217, 249: No income received during reporting period. Thus, this is reported here as provided for at pages 45-46 of the filing instructions.
- 5) Part VII, lines 193, 194, 197, 199 and 201: This asset was transferred from Brokerage #6 to Brokerage #7 near the end of the reporting period and no income has yet been received from this asset since the transfer. Any income from this asset received prior to the transfer is reported in Brokerage #6.
- 6) Part VII, line 207: Because this is an annuity, income, if any, is deferred; no income was received during reporting period.
- 7) Part VII, line 233: This investment club was dissolved but funds (approximately \$2542) remain in the club's account to pay for 2013 tax preparation. The assets of the club (stock) were sold prior to the end of the reporting period.
- 8) Part VII, lines 245 and 251: This is a checking account that does not pay any interest or any other form of income.
- 9) Part VII, line 248: This is a cash holding account that does not generate income.

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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/ **Katherine A. Constantine**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544