

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                     |                                                              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br>Constantine, Katherine A.                                                                                                 | <b>2. Court or Organization</b><br>Minnesota Bankruptcy Court                                                                                                                                                                                                                                       | <b>3. Date of Report</b><br>10/20/2015                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br>US Bankruptcy Court Judge                                          | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br>01/01/2014<br>to<br>12/31/2014 |
| <b>7. Chambers or Office Address</b><br>Suite 206<br>316 No Robert Street<br>St Paul MN 55101                                                                                              |                                                                                                                                                                                                                                                                                                     |                                                              |
| <p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                              |

## 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. | Trustee                    | Trust #1                           |
| 2. | Conservator/Guardian/Payee | Twin City Federal Account #1       |
| 3. |                            |                                    |
| 4. |                            |                                    |
| 5. |                            |                                    |

## 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. 2013/2014 | Dorsey & Whitney LLP (former law firm) Retirement Payment Agreement, fixed payments/no control |
| 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.)*

| DATE    | SOURCE AND TYPE                                                                             | INCOME<br>(yours, not spouse's) |
|---------|---------------------------------------------------------------------------------------------|---------------------------------|
| 1. 2014 | Dorsey & Whitney LLP-retirement, pension and refund of capital contribution (with interest) | \$194,660.19                    |
| 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. 2014 | [REDACTED] - salary & bonus |
| 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. | American Bankruptcy Institute Annual Spring Meeting                     | 04/24/2014 to 04/26/2014 | Washington, D.C. | meetings and educational programs/speaker | travel, food, lodging, registration fee |
| 2. | American Bankruptcy Institute Annual Central States Bankruptcy Workshop | 06/12/2014 to 6/13/2014  | Lake Geneva, WI  | meetings and educational programs/speaker | travel, food, lodging, registration fee |
| 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.     |             |       |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Brokerage #1 (H)                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. Alps (ETF)                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. AT&T (common)                                                                                                            | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 10/24/14                | J                               |                                |                                                                   |
| 4. Proctor & Gamble (common )                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Southern Co. (common)                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Target (common)                                                                                                          | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 10/24/14                | J                               |                                |                                                                   |
| 7. Teco Energy (common )                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Xcel Energy (common )                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Powershares Finl pfd (ETF)                                                                                               | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. SAFRA Natl Bk (C.D.)                                                                                                    | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 05/14/14                | K                               |                                |                                                                   |
| 11. CIT Bk (C.D.)                                                                                                           | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 12/02/14                | K                               |                                |                                                                   |
| 12. GE Cap Finl (C.D.)                                                                                                      | 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                                      |                                                 |                                           | Redeemed                                        | 02/03/14                | K                               |                                |                                                                   |
| 16. Deer River MN GO (Bond)                                                                                                 | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. MN Hsg Pub Svc Rev (Bond)                                                                                               | A                                       | Interest                                      | 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 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 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. MN Hsg Res Rev (Bond)                                                                                                   | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 12/05/14                | K                               |                                |                                                                   |
| 22. US Gov't Money Mkt (mutual fund)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. Brokerage #2 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 24. US Gov't Money Mkt (mutual fund)                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. Metropolitan West Ttl Retrn (Mutual Fd)                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 26. MFS Div Income (Mutual Fund)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. Anoka Cnty MN GO (Bond)                                                                                                 | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. Brokerage #3 (H)                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 29. RBC Prime Money Mkt (Mutual Fund)                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. Actavis PLC (rec'd thru merger w line 74)                                                                               | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. Advanced Auto Parts                                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/16/14                | J                               |                                |                                                                   |
| 32. Affiliated Manager Group Inc                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 10/27/14                | J                               | A                              |                                                                   |
| 33. AMC Networks Inc.                                                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 05/14/14                | J                               | A                              |                                                                   |
| 34. Ametek (common)                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/29/14                | J                               | A                              |                                                                   |

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

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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                     |   |              |   |   |                            |          |   |   |  |
|-------------------------------------|---|--------------|---|---|----------------------------|----------|---|---|--|
| 35. Andarko Pete (common)           | A | Dividend     | J | T | Buy<br>(add'l)             | 04/03/14 | J |   |  |
| 36. Apple (common)                  | A | Dividend     | J | T | Sold<br>(part)             | 03/20/14 | J | A |  |
| 37.                                 |   |              |   |   | Buy<br>(add'l)             | 08/27/14 | J |   |  |
| 38.                                 |   |              |   |   | Buy<br>(add'l)             | 10/10/14 | J |   |  |
| 39.                                 |   |              |   |   | Buy<br>(add'l)             | 11/18/14 | J |   |  |
| 40. Archer Daniels Midland (common) | A | Dividend     | J | T |                            |          |   |   |  |
| 41. Avago Tech (common)             | A | Dividend     | J | T | Sold<br>(part)             | 02/24/14 | J | A |  |
| 42.                                 |   |              |   |   | Sold<br>(part)             | 11/18/14 | J | A |  |
| 43. Biogen Idec (common)            |   | None         | J | T | Buy<br>(add'l)             | 01/06/14 | J |   |  |
| 44.                                 |   |              |   |   | Buy<br>(add'l)             | 12/24/14 | J |   |  |
| 45. Boeing (common)                 | A | Dividend     | J | T |                            |          |   |   |  |
| 46. California Resources (common)   | A | Distribution |   |   | Spinoff<br>(from line 109) | 12/01/14 | J |   |  |
| 47.                                 |   |              |   |   | Sold                       | 12/09/14 | J |   |  |
| 48. Celgene Corp (common)           |   | None         | J | T | Buy                        | 10/29/14 | J |   |  |
| 49.                                 |   |              |   |   | Buy<br>(add'l)             | 12/24/14 | J |   |  |
| 50. Chevron Corp                    |   | None         |   |   | Sold                       | 01/02/14 | J | A |  |
| 51. Church & Dwight                 |   | None         |   |   | Sold                       | 01/13/14 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                          | T = Cash Market                                              |                         |

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|---------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                           | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                        |   |          |   |   |                |          |   |   |  |
|----------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 52. Comcast Corp (class A)             | A | Dividend | J | T |                |          |   |   |  |
| 53. Continental Resources (common)     |   | None     |   |   | Sold           | 01/23/14 | J | A |  |
| 54. Core Laboratories NV (common)      | A | Dividend |   |   | Buy            | 04/24/14 | J |   |  |
| 55.                                    |   |          |   |   | Sold           | 08/12/14 | J | A |  |
| 56. Costco Wholesale (common)          | A | Dividend | J | T | Buy<br>(add'l) | 12/01/14 | J |   |  |
| 57. Delphi Automotive PLC              | A | Dividend | J | T | Buy            | 08/27/14 | J |   |  |
| 58.                                    |   |          |   |   | Buy<br>(add'l) | 08/28/14 | J |   |  |
| 59.                                    |   |          |   |   | Buy<br>(add'l) | 10/03/14 | J |   |  |
| 60. Delta Airlines (common)            | A | Dividend | J | T |                |          |   |   |  |
| 61. Ebay (common)                      |   | None     |   |   | Sold           | 01/21/14 | J | A |  |
| 62. Edwards Lifesciences Corp (common) |   | None     | J | T | Buy            | 03/11/14 | J |   |  |
| 63.                                    |   |          |   |   | Sold<br>(part) | 10/24/14 | J | A |  |
| 64. Eli Lilly (common)                 | A | Dividend | J | T |                |          |   |   |  |
| 65. EOG Resources (common)             | A | Dividend | J | T |                |          |   |   |  |
| 66. EQT Corp (common)                  | A | Dividend |   |   | Buy            | 01/02/14 | J |   |  |
| 67.                                    |   |          |   |   | Sold           | 03/06/14 | J | A |  |
| 68. FS Networks (common)               |   | None     | J | T | Buy            | 12/11/14 | J |   |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

10/20/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Facebook (common)                                                                                                       |                                         | None                                          | J                                               | T                                         | Buy                                             | 03/20/14                | J                               |                                |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/16/14                | J                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/24/14                | J                               |                                |                                                                   |
| 72. FedEx Corp                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 12/01/14                | J                               |                                |                                                                   |
| 73. FMC Technologies (common)                                                                                               |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/12/14                | J                               |                                |                                                                   |
| 74. Forest Laboratories (common)                                                                                            |                                         | None                                          |                                                 |                                           | Merged<br>(with line 30)                        | 06/17/14                | J                               | C                              |                                                                   |
| 75. General Motors (common)                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/27/14                | J                               | A                              |                                                                   |
| 76. Gilead Sciences Inc                                                                                                     |                                         | None                                          |                                                 |                                           | Sold<br>(part)                                  | 12/22/14                | J                               | A                              |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 12/23/14                | J                               | B                              |                                                                   |
| 78. Google Class C (spin-off from line 80)                                                                                  |                                         | None                                          |                                                 |                                           | Spinoff<br>(from line 80)                       | 04/03/14                |                                 |                                |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 04/16/14                | J                               | B                              |                                                                   |
| 80. Google Class A                                                                                                          |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 04/16/14                | J                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/27/14                | J                               |                                |                                                                   |
| 82. Halliburton Co (common)                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 01/23/14                | J                               |                                |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/17/14                | J                               | A                              |                                                                   |
| 84.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/21/14                | J                               | A                              |                                                                   |
| 85. Henry Schein (common)                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

10/20/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                   |   |          |   |   |                |          |   |   |  |
|-----------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 86. Hewlett Packard (common)      | A | Dividend | J | T | Buy            | 05/29/14 | J |   |  |
| 87.                               |   |          |   |   | Buy<br>(add'l) | 08/27/14 | J |   |  |
| 88.                               |   |          |   |   | Buy<br>(add'l) | 09/30/14 | J |   |  |
| 89. Home Depot (common)           | A | Dividend |   |   | Sold           | 06/26/14 | J | A |  |
| 90. Hospira Inc                   |   | None     | J | T |                |          |   |   |  |
| 91. Intel Corp (common)           | A | Dividend | J | T |                |          |   |   |  |
| 92. International Paper (common)  |   | None     |   |   | Sold           | 01/22/14 | J | A |  |
| 93. Johnson & Johnson (common)    | A | Dividend | J | T |                |          |   |   |  |
| 94. KBR Inc (common)              | A | Dividend |   |   | Sold           | 02/20/14 | J | A |  |
| 95. KLA -Tencor (common)          | A | Dividend |   |   | Sold           | 06/11/14 | J | A |  |
| 96. Laredo Petroleum (common)     |   | None     |   |   | Buy            | 03/06/14 | J |   |  |
| 97.                               |   |          |   |   | Sold           | 08/19/14 | J |   |  |
| 98. Lyondellbasell Ind (class A)  | A | Dividend |   |   | Sold           | 12/01/14 | J | A |  |
| 99. Merck & Co (common)           | A | Dividend | J | T | Buy            | 01/13/14 | J |   |  |
| 100.                              |   |          |   |   | Buy<br>(add'l) | 05/01/14 | J |   |  |
| 101.                              |   |          |   |   | Buy<br>(add'l) | 08/27/14 | J |   |  |
| 102. Michael kors Hlds (ordinary) |   | None     | J | T |                |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>W = Estimated                                                           | T = Cash Market                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Michron Technology (common)                                                                                            |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/11/14                | J                               |                                |                                                                   |
| 104.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/24/14                | J                               |                                |                                                                   |
| 105. NXP Semiconductors (common)                                                                                            |                                         | None                                          | J                                               | T                                         | Buy                                             | 05/14/14                | J                               |                                |                                                                   |
| 106. Newell Rubbermaid (common)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. Nextera Energy (common)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 108. Norfolk Southern Corp (common)                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/27/14                | J                               |                                |                                                                   |
| 109. Occidental Pete (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/17/14                | J                               |                                |                                                                   |
| 110. Oracle Corp (common)                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 09/30/14                | J                               | A                              |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 12/11/14                | J                               | A                              |                                                                   |
| 112. Parker Hannifin (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/20/14                | J                               |                                |                                                                   |
| 113. Pepsi (common)                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 114. Phillips 66 (common)                                                                                                   |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/04/14                | J                               |                                |                                                                   |
| 115. Precision Castparts (common)                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 04/03/14                | J                               |                                |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/24/14                | J                               | A                              |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/27/14                | J                               | A                              |                                                                   |
| 118. Priceline (common)                                                                                                     |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 04/16/14                | J                               |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/20/14                | J                               | A                              |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|--------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A ~\$1,000 or less<br>F ~\$50,001 - \$100,000                                      | B ~\$1,001 - \$2,500<br>G ~\$100,001 - \$1,000,000   | C ~\$2,501 - \$5,000<br>H1 ~\$1,000,001 - \$5,000,000                                  | D ~\$5,001 - \$15,000<br>H2 ~More than \$5,000,000         | E ~\$15,001 - \$50,000 |
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| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                    | R = Cost (Real Estate Only)<br>V = Other             | S = Assessment<br>W = Estimated                                                        | T = Cash Market                                            |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

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☐ NONE (No reportable income, assets, or transactions.)

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Qualcomm                                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 06/11/14                | J                               | A                              |                                                                   |
| 121.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/27/14                | J                               | A                              |                                                                   |
| 122.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/10/14                | J                               |                                |                                                                   |
| 123. RPM International (common)                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/16/14                | J                               |                                |                                                                   |
| 124. Sandisk Corp (common)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. Schlumberger Ltd (common)                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 09/11/14                | J                               | B                              |                                                                   |
| 126. Sector Spdr (ETF)                                                                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. Snap-On Inc (common)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/14/14                | J                               |                                |                                                                   |
| 128.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/26/14                | J                               |                                |                                                                   |
| 129.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/03/14                | J                               |                                |                                                                   |
| 130. Stryker Corp (common)                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/11/14                | J                               | B                              |                                                                   |
| 131. TJX Companies (common)                                                                                                 |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/20/14                | J                               |                                |                                                                   |
| 132. TRW Automotive (common)                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 12/16/14                | J                               | B                              |                                                                   |
| 133. Ubiquiti Networks (common)                                                                                             |                                         | None                                          |                                                 |                                           | Buy                                             | 02/28/14                | J                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 05/14/14                | J                               |                                |                                                                   |
| 135. Valero Energy (common)                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/01/14                | J                               | A                              |                                                                   |
| 136. Vulcan Materials (common)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/21/14                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Wabtec Corp (common)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/29/14                | J                               |                                |                                                                   |
| 138. Walt Disney (common)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 139. Whirlpool Corp (common)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/25/14                | J                               |                                |                                                                   |
| 140. Yahoo (common)                                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 04/16/14                | J                               | B                              |                                                                   |
| 141. Zimmer Holdings (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142. Brokerage #4 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 143. RBC Prime Money Market Fd (mutual fund)                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144. Amer Fds Euro Pacific Gr (mutual fund)                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. Amer Fds Capital Income Bldr (mutual fund) Class C                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. Amer Fds Capital Income Bldr (mutual fund) Class F                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. Fidelity Adv New Insights (mutual fund)                                                                                | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 148. Thornburg Int'l Value (mutual fund)                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 149. AXA Variable Annuity -See VIII                                                                                         |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. Brokerage #5 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 151. RBC Prime Money Market Fd (mutual fund)                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. Kayne Anderson (common)                                                                                                | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. MN Higher Ed St. Ben (Bond)                                                                                            | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

10/20/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Xcel Energy (common)                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155. Brokerage Account #6 Dorsey 401k (H)<br>Closed - See VIII                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 156. Brokerage Acct #7 (H)                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 158. Federated Money Market (money market)                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. Amer Fds Euro Pac Gr (mutual fund)                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160. Buffalo Fds Mid Cap (mutual fund)                                                                                      | D                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 10/24/14                | J                               |                                |                                                                   |
| 161. Dodge & Cox Fund Intl Stock (mutual<br>fund) Class F                                                                   | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 162. Dodge & Cox Income (mutual fund) Class I                                                                               | B                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 10/24/14                | K                               |                                |                                                                   |
| 163. Fidelity New Insights (cl c mutual fund)                                                                               | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 164)                       | 08/06/14                | L                               |                                |                                                                   |
| 164. Fidelity New Insights (cl i mutual fund)                                                                               | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 165. IShares Russell 1000 Gr (ETF)                                                                                          | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166. IShares Russell 1000 Value (ETF)                                                                                       | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 167. IShares S&P Sm Cap 600 (ETF)                                                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 168. Metropolitan West Total Return<br>Bond(mutual fund)                                                                    | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 169. MFS Div Inc (mutual fund)                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. Parnassus Income Trust u/k/a Parnassus<br>Core Equity Fd                                                               | B                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

10/20/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. T Rowe Price Gr Stk (mutual fund)                                                                                      | D                                       | Dividend                                      | M                                               | T                                         | Sold<br>(part)                                  | 10/24/14                | K                               | C                              |                                                                   |
| 172. Vanguard Total Bond Market ETF                                                                                         | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 173. American Express Centurion BK                                                                                          | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. Sallie Mae Bk Slt Lake City (C.D.)                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 175. GE Cap Retrail Bk Utah (C.D.)                                                                                          | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. GE Cap Retail Bk Draper Utah(C.D.)                                                                                     | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 02/10/14                | K                               |                                |                                                                   |
| 177. Goldman Sachs Bk USA NY (C.D.)                                                                                         | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 02/10/14                | K                               |                                |                                                                   |
| 178. AT & T unsecured OID                                                                                                   | A                                       | Interest                                      | K                                               | T                                         | Buy                                             | 07/16/14                | K                               |                                |                                                                   |
| 179. Brokerage #8 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 180. RBC Prime Money Market (mutual fund)                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181. American Century Eq Inc (mutual fund)                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/24/14                | L                               | E                              |                                                                   |
| 182. Amer Fds Capital Inc Bldr (mutual fund)                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 183. Amer Fds Euro Pac Gr (cl c mutual fund)                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 184. Amer Fds Euro Pac Gr (cl f mutual fund)                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 185. Brocade Commun Syst (common)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 186. Columbia Acorn Tr (mutual fund)                                                                                        | C                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 187. Fidelity New Insights (mutual fund)                                                                                    | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. Fidelity Adv Ser II (mutual fund)                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 10/24/14                | K                               | D                              |                                                                   |
| 189. Fundamental Invs (mutual fund)                                                                                         | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. Keeley Sm Cap Value (mutual fund)                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 191. Lord Abbett Sec Tr Value Opp (mutual fund)                                                                             | C                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 10/24/14                | K                               |                                |                                                                   |
| 192. Metropolitan West Total Return Bond (mutual fund)                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 193. MFS Ser Tr XIII (mutual fund)                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 194. MFS Growth (mutual fund)                                                                                               | B                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 10/24/14                | K                               |                                |                                                                   |
| 195. MFS Utilities Fd (mutual fund)                                                                                         | C                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 10/24/14                | K                               |                                |                                                                   |
| 196. Tr for Prof Mgrs Snow Cap Small Cap Value (mutual fd)                                                                  | B                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/24/14                | J                               |                                |                                                                   |
| 197. Brokerage #10(H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 198. RBC Br Deposit Program (money market)                                                                                  |                                         | None                                          | J                                               | T                                         | Buy                                             | 11/24/14                | J                               |                                |                                                                   |
| 199. Ally Bk Midvale Utah (C.D.)                                                                                            |                                         | None                                          | L                                               | T                                         | Buy                                             | 11/24/14                | L                               |                                |                                                                   |
| 200. GE Cap Bk Retail (C.D.)                                                                                                |                                         | None                                          | K                                               | T                                         | Buy                                             | 11/24/14                | K                               |                                |                                                                   |
| 201. American Express Cent Bk (C.D.)                                                                                        |                                         | None                                          | K                                               | T                                         | Buy                                             | 11/24/14                | K                               |                                |                                                                   |
| 202. Trust #1 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 203. RBC Prime Money Mkt (mutual fund)                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 204. MFS Ser Tr XIII (mutual fund)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

10/20/2015

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. American Enterprise Inv. Svcs.(mutual fund)                                                                            | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 206. Discover Financial Svcs. (common)                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 207. Honeywell Int'l. (common)                                                                                              | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 208. Morgan Stanley (common)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 209. Allstate Corp. (common)                                                                                                | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 210. Sears Holding Corporation (common)                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 211. Sears Canada (common)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 212. U.S. Bank N.A. Accounts (cash & CDs)                                                                                   | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 213. Twin City Federal Account (cash)                                                                                       |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                | See Part VIII                                                     |
| 214. Brokerage #9 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 215. -E Trade cash reserve account                                                                                          |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                | See Part VIII                                                     |
| 216. -Brocade (common)                                                                                                      |                                         | None                                          | M                                               | T                                         | Sold (part)                                     | 02/27/14                | L                               | C                              |                                                                   |
| 217.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 03/18/14                | K                               | D                              |                                                                   |
| 218.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 12/31/14                | J                               | D                              |                                                                   |
| 219.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 06/01/14                | K                               |                                |                                                                   |
| 220.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 12/01/14                | J                               |                                |                                                                   |
| 221. Twin City Federal Account #1 (Conservator/Guardian)                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                | See Part VIII                                                     |

|                                           |                                                                                                                   |                                                        |                                                                                           |                                                              |                         |
|-------------------------------------------|-------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:                     | A = \$1,000 or less<br>(See Columns B1 and D4)                                                                    | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
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# FINANCIAL DISCLOSURE REPORT

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222. Franklin Templeton Investments Account #1<br>(Custodian)                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 223. -Franklin Founding Funds Allocation Fund<br>- Class A                                                                  | A                                       | Dividend                                      | J                                               | 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 |                         |
|                         | P3 = \$25,000,001 - \$50,000,000 |                             | P4 = More than \$50,000,000    |                                 |                         |
| 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                  |                                 |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

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

Part VII, Line 149 - This annuity was previously listed under account #7 but was moved to Account #4 - no exchange of money involved. This annuity is invested in a model portfolio 50% moderate allocation/50% conservative allocation. I am only able to select the asset allocation and the annuity makes all investment decisions without consulting me.

Part VII, Line 155 - Brokerage acct #6 was closed in 2013 and assets were moved to Acct #7. No exchange of money involved.

Part VII, Lines 213 and 221 - These are checking accounts that do not pay any interest or any other form of income.

Part VII, Line 215 - This is a cash holding account that does not generate income.

As previously reported (see Part VIII in reports for 2013 reporting period), the Steep Earnings Curve (investment club) was dissolved in 2013 and assets (stock) were sold and distributed during 2013 except that funds (approx. \$2542) were left in the account to pay for 2013 tax preparation. The final distribution of approximately \$342 was made in April 2014 to me after payment for that tax preparation. There is and will be no further activity to report regarding this club.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

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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  
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Washington, D.C. 20544