

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

1. Person Reporting (last name, first, middle initial) Constantine, Katherine A.	2. Court or Organization Minnesota Bankruptcy Court	3. Date of Report 01/27/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Suite 206 316 No Robert Street St Paul MN 55101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

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

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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1. 2013	Dorsey & Whitney LLP-partner compensation	\$116,980.20
2. 2013	Dorsey & Whitney LLP-retirement, pension and refund of capital contribution (with interest)	\$136,046.13
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. 2013	[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. National Conference of Bankruptcy Judges	10/29/2013 to 11/02/2013	Atlanta, GA	meetings and educational programs	lodging
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
Constantine, Katherine A.	01/27/2015

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. SBrokerage #1 (H)									
2. -Alps (ETF)	A	Dividend	J	T					
3. -AT&T (common)	A	Dividend	J	T					
4. -Proctor & Gamble (common)	A	Dividend	J	T					
5. -Southern Co. (common)	A	Dividend	J	T					
6. -Target (common)	A	Dividend	J	T					
7. -Teco Energy (common)	A	Dividend	J	T					
8. -Xcel Energy (common)	A	Dividend	J	T					
9. -Powershares Finl pfd (ETF)	B	Dividend	K	T	Buy (add'l)	01/24/13	J		
10. -SAFRA Natl Bk (C.D.)	A	Interest	K	T	Buy	5/17/13	K		
11. -CIT Bk (C.D.)	A	Interest	K	T	Buy	5/17/13	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	K	T					
16. -Deer River MN GO (Bond)	A	Interest	K	T					
17. -MN Hsg Pub Svc Rev (Bond)		None	K	T	Buy	08/19/13	K		

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

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	Buy	01/18/13	K		
21. -US Gov't Money Mkt (mutual fund)	A	Dividend	J	T	Buy (add'l)	01/03/13	K		
22.					Buy (add'l)	05/23/13	J		
23.					Buy (add'l)	08/02/13	J		
24.					Redeemed (part)	01/29/13	J		
25.					Redeemed (part)	02/01/13	K		
26.					Redeemed (part)	08/28/13	K		
27.									
28. Brokerage #2 (H)									
29. -US Gov't Money Mkt (mutual fund)	A	Dividend	J	T	Buy (add'l)	07/24/13	K		
30.					Redeemed (part)	01/29/13	J		
31.					Redeemed (part)	07/25/13	K		
32. -Metropolitan West Ttl Retrn (Mutual Fd)	A	Dividend	K	T	Buy (add'l)	01/24/13	J		
33. -MFS Div Income (Mutual Fund)	A	Dividend	K	T	Buy	07/22/13	K		
34. -Pimco Total Return (Mutual Fd)	A	Dividend			Buy (add'l)	01/24/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

35.					Sold	07/19/13	K		
36.	-Anoka Cnty MN GO (Bond)	A	Interest	K	T				
37.									
38.	Brokerage #3 (H)								
39.	-RBC Prime Money Mkt (Mutual Fund)	A	Dividend	K	T	Buy (add'l)	01/29/13	J	
40.					Buy (add'l)	02/06/13	J		
41.					Buy (add'l)	02/25/13	J		
42.					Buy (add'l)	02/27/13	J		
43.					Buy (add'l)	04/23/13	J		
44.					Buy (add'l)	05/08/13	J		
45.					Buy (add'l)	05/22/13	J		
46.					Buy (add'l)	07/03/13	J		
47.					Buy (add'l)	08/23/13	J		
48.					Buy (add'l)	09/05/13	J		
49.					Buy (add'l)	09/06/13	J		
50.					Buy (add'l)	09/09/13	K		
51.					Buy (add'l)	09/27/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

52.					Buy (add'l)	11/13/13	J		
53.					Buy (add'l)	12/09/13	J		
54.					Buy (add'l)	12/18/13	J		
55.					Redeemed (part)	02/01/13	J		
56.					Redeemed (part)	02/22/13	J		
57.					Redeemed (part)	03/12/13	J		
58.					Redeemed (part)	03/22/13	J		
59.					Redeemed (part)	03/28/13	J		
60.					Redeemed (part)	04/24/13	J		
61.					Redeemed (part)	05/10/13	J		
62.					Redeemed (part)	08/16/13	J		
63.					Redeemed (part)	08/29/13	J		
64.					Redeemed (part)	09/13/13	K		
65.					Redeemed (part)	09/17/13	J		
66.					Redeemed (part)	10/17/13	J		
67.					Redeemed (part)	11/08/13	J		
68.					Redeemed (part)	11/18/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.					Redeemed (part)	11/26/13	J		
70. -Affiliated Manager Group Inc		None	J	T	Buy	11/05/13	J		
71.					Buy (add'l)	11/21/13	J		
72. -Alliant Energy (common)	A	Dividend			Sold	02/20/13	J	A	
73. -Allstate Corp (common)	A	Dividend			Sold	09/10/13	J	A	
74. -Amazon.com Inc (common)		None			Sold	04/02/13	J	A	
75. -AMC Networks Inc.		None	J	T	Buy	08/29/13	J		
76.					Buy (add'l)	09/04/13	J		
77. -American Int'l (common)	A	Dividend			Buy (add'l)	03/08/13	J		
78.					Sold	09/10/13	J	B	
79. -Ametek (common)	A	Dividend	J	T					
80. -Andarko Pete (common)	A	Dividend	J	T	Buy (add'l)	05/15/13	J		
81. -Analog Devices (common)	A	Dividend			Sold	9/17/13	J	A	
82. -Apple (common)	A	Dividend	J	T	Buy (add'l)	04/23/13	J		
83.					Sold (part)	01/24/13	J	B	
84.					Sold (part)	02/20/13	J	B	
85. -Archer Daniels Midland (common)	A	Dividend	J	T	Buy (add'l)	01/04/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

86.					Buy (add'l)	06/06/13	J		
87.					Sold (part)	04/12/13	J	A	
88. -Avago Tech (common)	A	Dividend	J	T	Buy	07/19/13	J		
89.					Buy (add'l)	11/14/13	J		
90. -AT & T (common)	A	Dividend			Sold	08/29/13	J	A	
91. -Bank of America (common)	A	Dividend			Sold (part)	01/18/13	J	A	
92.					Sold	03/08/13	J	A	
93. -Biogen Idec (common)		None	J	T	Buy	05/30/13	J		
94.					Buy (add'l)	06/26/13	J		
95. -Boeing (common)	A	Dividend	J	T	Buy	08/16/13	J		
96.					Buy (add'l)	08/20/13	J		
97. -Bristol Meyers Squibb (common)	A	Dividend			Sold	12/04/13	J	B	
98. -Broadcom Corp (common)	A	Dividend			Sold	04/23/13	J		
99. -Cameron International		None			Buy	01/02/13	J		
100.					Sold	05/03/13	J	A	
101. -CF Industries Holdings Inc		None			Buy	02/20/13	J		
102.					Sold	02/22/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. -Chevron Corp (common)	A	Dividend	J	T	Buy (add'l)	05/09/13	J		
104.					Sold (part)	10/15/13	J		
105. -Church & Dwight Co (common)	A	Dividend	J	T	Buy	03/04/13	J		
106. -Cisco Systems (common)	A	Dividend			Sold (part)	05/07/13	J	A	
107.					Sold (part)	11/14/13	J	A	
108.					Sold	12/12/13	J	A	
109. -Citigroup (common)	A	Dividend			Buy (add'l)	02/26/13	J		
110.					Sold	09/04/13	J	B	
111. -Coca Cola (Common)	A	Dividend			Sold (part)	01/04/13	J	A	
112.					Sold	09/26/13	J	B	
113. -Comcast Corp (class A)	A	Dividend	J	T					
114. -Conagra Foods (common)	A	Dividend			Sold	06/06/13	J	A	
115. -Continental Resources (common)		None	J	T	Buy	01/17/13	J		
116. -Costco Wholesale (common)	A	Dividend	J	T	Buy	08/26/13	J		
117. -Cummins (common)	A	Dividend			Sold	11/21/13	J	A	
118. -Delta Air Lines Inc Del		None	J	T	Buy (add'l)	11/21/13	J		
119.					Sold (part)	02/20/13	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. -Discover Financial (common)	A	Dividend			Sold	09/04/13	J	B	
121. -E I Dupont (common)		None			Sold	02/01/13	J	A	
122. -Ebay (common)		None	J	T	Buy (add'l)	03/14/13	J		
123. -EMC Corp (common)	A	Dividend			Sold	07/16/13	J	A	
124. -Eli Lilly (common)	A	Dividend	J	T	Sold (part)	10/11/13	J	A	
125. -EOG Resources (common)	A	Dividend	J	T					
126. -Exxon Mobile (common)	A	Dividend			Sold (part)	05/09/13	J	B	
127.					Sold (part)	05/15/13	J		
128.					Sold	06/06/13	J	A	
129. -FedEx Corp		None	J	T	Buy	11/21/13	J		
130. -Fifth Third Bancorp (common)	A	Dividend			Buy (add'l)	04/19/13	J		
131.					Sold (part)	07/16/13	J	A	
132.					Sold	09/03/13	J	A	
133. -Forest Laboratories (common)		None	J	T	Buy	5/17/13	J		
134.					Buy (add'l)	8/13/13	J		
135. -Freeport McMoran (class B)	A	Dividend			Sold	2/20/13	J		
136. Gallagher Arthur J & Co (common)	A	Dividend			Buy	03/14/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold	09/10/13	J	A	
138. -General Electric (common)	A	Dividend			Sold (part)	08/16/13	J		
139.					Sold	08/20/13	J		
140. -General Motors (common)		None	J	T	Buy	1/10/13	J		
141. -Gilead Sciences Inc		None	J	T	Buy	10/11/13	J		
142.					Buy (add'l)	12/04/13	J		
143. -Goldman Sachs Group	A	Dividend			Buy	8/27/13	J		
144.					Sold	9/04/13	J	A	
145. -Google (common)		None	J	T	Buy (add'l)	05/07/13	J		
146.					Sold (part)	3/14/13	J	B	
147. -Helmerich & Payne Inc		None			Sold	01/02/13	J	A	See Part VIII
148. -Henry Schein (common)		None	J	T	Buy	09/12/13	J		
149.					Buy (add'l)	09/26/13	J		
150. -Home Depot (common)	A	Dividend	J	T					
151. -Hospira Inc		None	J	T	Buy	11/05/13	J		
152. -Intel Corp (common)		None	J	T	Buy	12/16/13	J		
153. -IBM (common)		None			Sold	01/03/13	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -International Paper (common)	A	Dividend	J	T					
155. -Invesco Ltd (common)	A	Dividend			Sold	09/10/13	J	A	
156. -Johnson & Johnson (common)	A	Dividend	J	T	Buy (add'l)	09/26/13	J		
157. -JP Morgan & Chase	A	Dividend			Buy (add'l)	05/28/13	J		
158.					Buy (add'l)	07/16/13	J		
159.					Sold (part)	03/14/13	J	A	
160.					Sold (part)	03/19/13	J	A	
161.					Sold	09/03/13	J		
162. -KBR Inc (common)	A	Dividend	J	T	Buy	01/29/13	J		
163.					Sold (part)	05/03/13	J		
164. -KLA -Tencor (common)	A	Dividend	J	T	Buy	02/19/13	J		
165. -Laboratory Corp Amer Hldgs		None			Sold	09/12/13	J	A	
166. -LSI Corp (common)	A	Dividend			Buy	07/16/13	J		
167.					Sold	12/16/13	J	B	
168. -Lyondellbasell Ind (class A)	A	Dividend	J	T	Buy	02/01/13	J		
169.					Buy (add'l)	11/05/13	J		
170. -Macys Inc	A	Dividend			Sold (part)	01/24/13	J		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171.					Sold	01/30/13	J	A	
172. -Mastercard Inc		None			Buy	08/01/13	J		
173.					Sold	09/04/13	J		
174. -Merck & Co (common)	A	Dividend			Sold	11/05/13	J	B	
175. -MetLife (common)	A	Dividend			Buy (add'l)	02/15/13	J		
176.					Sold (part)	06/28/13	J	A	
177.					Sold	09/10/13	J	A	
178. -Michael kors Hldgs (ordinary)		None	J	T					
179. -Microsoft (common)		None			Sold	02/01/13	J		
180. -Morgan Stanley (common)	A	Dividend			Buy	02/26/13	J		
181.					Buy (add'l)	03/08/13	J		
182.					Sold (part)	06/28/13	J	A	
183.					Sold	08/27/13	J	A	
184. -Murphy Oil (common)	A	Dividend			Sold	05/09/13	J	A	
185. -Newell Rubbermaid (common)	A	Dividend	J	T	Buy	03/04/13	J		
186. -Nextera Energy (common)	A	Dividend	J	T	Buy	03/25/13	J		
187. -Nisource Inc (common)	A	Dividend			Sold (part)	05/15/13	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188.					Sold	05/30/13	J	A	
189. -Occidental Pete (common)	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
190.					Buy (add'l)	10/15/13	J		
191. -Oracle Corp (common)	A	Dividend	J	T	Sold (part)	09/18/13	J	A	
192. -Parker Hannifin (common)	A	Dividend	J	T	Buy	05/15/13	J		
193.					Buy (add'l)	06/06/13	J		
194. -Pepsi (common)	A	Dividend	J	T					
195. -Pioneer Natural Res (common)		None			Sold	01/17/13	J	A	
196. -Polaris Ind (common)	A	Dividend			Sold	07/26/13	J	A	
197. -Precision Castparts (common)	A	Dividend	J	T					
198. -Priceline (common)		None	J	T	Buy	09/04/13	J		
199. -Proctor & Gamble	A	Dividend			Sold	03/04/13	J	B	
200. -Qualcomm	A	Dividend	J	T	Buy (add'l)	12/16/13	J		
201.					Sold (part)	07/19/13	J	A	
202.					Sold (part)	11/05/13	J	A	
203. -Raytheon (common)	A	Distribution			Sold	01/10/13	J	A	
204. -Reliance Steel & Alum (common)	A	Dividend			Buy	01/04/13	J		

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

Page 16 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.					Sold	04/18/13	J	A	
206. -Schlumberger Ltd (common)	A	Dividend	J	T	Buy (add'l)	03/19/13	J		
207. -Sandisk Corp		None	J	T	Buy	09/10/13	J		
208.					Buy (add'l)	09/12/13	J		
209. -Sector Spdr (ETF)	A	Dividend	K	T	Buy	09/10/13	K		
210.					Buy (add'l)	09/12/13	J		
211. -Simon Property Grp (common)	A	Dividend			Buy	06/26/13	J		
212.					Sold	09/10/13	J		
213. -Stryker Corp (common)	A	Dividend	J	T					
214. -Target (common)	A	Dividend			Sold	09/04/13	J	A	
215. -Timken (common)	A	Dividend			Buy	02/20/13	J		
216.					Buy (add'l)	05/15/13	J		
217.					Sold (part)	11/21/13	J		
218.					Sold	12/13/13	J		
219. -Triumph Grp (common)	A	Dividend			Buy (add'l)	01/10/13	J		
220.					Sold	12/16/13	J	A	
221. -TRW Automotive (common)		None	J	T					See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222.									
223. -Union Pacific Corp (common)	A	Dividend			Sold	11/21/13	J	A	
224. -US Bancorp (common)	A	Dividend			Buy	02/26/13	J		
225.					Buy (add'l)	03/19/13	J		
226.					Sold	07/16/13	J	A	
227. -Valero Energy (common)	A	Dividend	J	T	Buy	11/13/13	J		
228. -Verizon Commun (common)	A	Dividend			Sold	05/28/13	J	A	
229. -Visa (common)	A	Dividend			Sold	08/01/13	J	B	
230. -Wabtec Corp		None	J	T	Buy	12/16/13	J		
231. -Walt Disney (common)		None	J	T	Sold (part)	01/10/13	J	A	
232. -Wells Fargo (common)	A	Dividend			Buy (add'l)	07/16/13	J		
233.					Buy (add'l)	08/27/13	J		
234.					Sold (part)	02/26/13	J	A	
235.					Sold	08/30/13	J		
236. -Western Digital (common)	A	Dividend			Buy	05/07/13	J		
237.					Sold	09/24/13	J	A	
238. -Weyerhaeuser Co (common)	A	Dividend			Buy	03/19/13	J		

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

Page 18 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

239.					Sold	06/26/13	J		
240. -Whirlpool Corp (common)	A	Dividend	J	T	Buy	04/02/13	J		
241. -Whiting Petroleum Corp		None			Buy	10/15/13	J		
242.					Sold	11/07/13	J		
243. -Xilinx (common)	A	Dividend			Buy	9/17/13	J		
244.					Sold	12/16/13	J		
245. -Yahoo (common)		None	J	T	Buy	01/03/13	J		
246.					Sold (part)	05/1/13	J	A	
247. -Zimmer Holdings (common)	A	Dividend	J	T					
248.									
249. Brokerage #4 (H)									
250. -RBC Prime Money Market Fd (mutual fund)	A	Dividend	J	T					
251. -Fidelity Adv New Insights (mutual fund)	C	Dividend	K	T	Buy (add'l)	01/24/13	J		
252. -Amer Fds Euro Pacific Gr (mutual fund)	A	Dividend	J	T					
253. -Thornburg Int'l Value (mutual fund)	A	Dividend	J	T					
254. -Amer Fds Capital Income Bldr (mutual fund) Class C	A	Dividend			Closed	10/11/13	J		See Part VIII
255. -Amer Fds Capital Income Bldr (mutual fund) Class F	A	Dividend	J	T	Open	10/11/13	J		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.									
257. Brokerage #5 (H)									
258. -RBC Prime Money Market Fd (mutual fund)	A	Dividend	J	T	Redeemed (part)	01/29/13	J		
259. -Kayne Anderson (common)	B	Dividend	K	T					
260. -MN Higher Ed St. Ben (Bond)	A	Interest	K	T					
261. -Xcel Energy (common)	A	Dividend	K	T	Buy	01/24/13	J		
262.									
263. Brokerage Account #6 Dorsey 401k (H)									
264. -Discover Bank (C.D.)	B	Interest			Closed	09/11/13	L		See Part VIII
265. -Artisan International (mutual fund)	A	Dividend			Closed	09/11/13	L		See Part VIII
266. -Buffalo Mid Cap (mutual fund)		None			Buy (add'l)	01/25/13	J		
267.					Closed	09/11/13	L		See Part VIII
268. -Dodge & Cox Int'l Stock (mutual fund)		None			Closed	09/11/13	L		See Part VIII
269. -Fidelity Contra (mutual fund)	A	Dividend			Buy (add'l)	01/25/13	J		
270.					Closed	09/11/13	K		See Part VIII
271. -Fidelity New Insights C1 C		None			Closed	09/11/13	L		See Part VIII
272. -Metropolitan West Total Return Bond (mutual fund)	B	Dividend			Buy (add'l)	01/25/13	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

273.					Closed	09/11/13	L		See Part VIII
274. -Parnassus Income Tr (mutual fund)	B	Dividend			Buy (add'l)	01/25/13	K		
275.					Closed	09/11/13	M		See Part VIII
276. -Pimco Total Return (mutual fund)	B	Dividend			Buy (add'l)	01/25/13	J		
277.					Closed	09/11/13	L		See Part VIII
278. -T Rowe Price Gr Stk (mutual fund)		None			Buy (add'l)	01/25/13	J		
279.					Closed	09/11/13	M		See Part VIII
280. -Royce Value		None			Closed	09/11/13	K		See Part VIII
281. -IMS Capital Value Unified Series Trust (mutual fund)		None			Closed	09/11/13	L		See Part VIII
282. -iShares Russell 1000 Gr (ETF)	A	Dividend			Closed	09/11/13	K		See Part VIII
283. -iShares Russell 1000 Value (ETF)	B	Dividend			Closed	09/11/13	M		See Part VIII
284. -iShares S&P Sm Cap 600 (ETF)	A	Dividend			Closed	09/11/13	K		See Part VIII
285.									
286. Brokerage Acct #7 (H)									
287. -RBC Prime Money Market Fd (mutual fund)	A	Dividend			Buy (add'l)	09/12/13	L		
288.					Sold	09/13/13	L		
289. -Federated Money Market (money market)	A	Dividend	M	T	Buy	09/13/13	L		

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Buy (add'l)	09/23/13	L		
291.					Buy (add'l)	10/01/13	L		
292.					Buy (add'l)	10/02/13	L		
293.					Buy (add'l)	11/06/13	K		
294.					Buy (add'l)	11/07/13	J		
295.					Buy (add'l)	11/21/13	L		
296.					Buy (add'l)	12/31/13	J		
297.					Redeemed (part)	10/03/13	J		
298.					Redeemed (part)	11/08/13	L		
299.					Redeemed (part)	11/13/13	K		
300.					Redeemed (part)	11/14/13	K		
301.					Redeemed (part)	11/22/13	K		
302. -Artisan Intl. (mutual fund)		None			Open	09/11/13	L		See Part VIII
303.					Sold	09/30/13	L	C	
304. -Buffalo Mid Cap (mutual fund)	D	Dividend	L	T	Open	9/11/13	L		See Part VIII
305. -Fidelity New Insights (mutual fund)	D	Dividend	L	T	Open	9/11/13	L		See Part VIII
306. -iShares Russell 1000 Gr (ETF)	A	Dividend	K	T	Open	09/11/13	K		See Part VIII

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

307. -iShares Russell 1000 Value (ETF)	B	Dividend	M	T	Open	09/11/13	M		See Part VIII
308.					Sold (part)	11/18/13	L	D	
309. -iShares S&P Sm Cap 600 (ETF)	A	Dividend	K	T	Open	09/11/13	K		See Part VIII
310. -Parnassus Income Tr (mutual fund)	D	Dividend	M	T	Sold (part)	11/05/13	K	C	
311.					Sold (part)	11/20/13	K	B	
312. -T Rowe Price Gr Stk (mutual fund)	A	Dividend	M	T	Open	09/11/13	M		See Part VIII
313.					Sold (part)	11/06/13	K	C	
314. -Dodge & Cox Int'l Stock (mutual fund) Class F	B	Dividend	L	T	Open	09/11/13	L		See Part VIII
315. -Amer Fds Euro Pac Gr (mutual fund)	A	Dividend	K	T	Buy	9/30/13	K		
316. -Vanguard Total Bond Market ETF	A	Dividend	L	T	Buy	11/18/13	L		
317. -Dodge & Cox Income Fund (mutual fund) Class I	A	Dividend	K	T	Buy	11/20/13	K		
318. -Metropolitan West Total Return Bond (mutual fund)	B	Dividend	M	T	Open	9/11/13	L		See Part VIII
319.					Buy (add'l)	10/01/13	J		
320.					Buy (add'l)	11/04/13	K		
321.					Buy (add'l)	11/18/13	K		
322. -American Express Centurion BK		None	K	T	Buy	11/05/13	K		
323. -Sallie Mae Bk Slt Lake City		None	K	T	Buy	11/05/13	K		

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. -GE Cap Retrail Bk Utah		None	K	T	Buy	11/18/13	K		
325. -MFS Div Inc (mutual fund)	A	Dividend	L	T	Buy	09/30/13	K		
326. -Fidelity Contrafund		None			Open	09/11/13	K		See Part VIII
327.					Sold	09/30/13	K	B	
328. -Pimco Fds Pac Invst Mgmt Ser	A	Dividend			Open	09/11/13	L		See Part VIII
329.					Sold	09/30/13	L	B	
330. -Royce Value Plus (mutual fund)	A	Dividend			Open	09/11/13	K		See Part VIII
331.					Sold	11/18/13	K	C	
332. -IMS Cap Value Unified Ser Tr (mutual fund)		None			Open	09/11/13	L		See Part VIII
333.					Sold	10/01/13	L	B	
334. -Powershares (ETF)	A	Dividend			Buy	09/30/13	K		
335.					Buy (add'l)	11/04/13	J		
336.					Sold	11/18/13	K		
337. -Morgan Stanley Cap Tr	A	Interest			Buy	11/05/13	K		
338.					Sold	11/18/13	K		
339. -PNC Finl Svcs Group Inc		None			Buy	11/05/13	K		
340.					Sold	11/18/13	K		

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

FINANCIAL DISCLOSURE REPORT

Page 24 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
341. -AXA Annuity	D	Dividend	M	T					
342.									
343. Brokerage #8 (H)									
344. -RBC Prime Money Market (mutual fund)	A	Dividend	J	T	Buy (add'l)	07/24/13	K		
345.					Redeemed (part)	01/25/13	J		
346.					Redeemed (part)	07/25/13	K		
347. -American Century Eq Inc (mutual fund)	D	Dividend	L	T	Buy	01/24/13	J		
348. [REDACTED]		None	J	T					
349. -Amer Fds Capital Inc Bldr (mutual fund)	A	Dividend	J	T					
350. -Columbia Acorn (mutual fund)	B	Dividend	K	T					
351. -Euro Pac Gr (cl c mutual fund)	A	Dividend	K	T					See Part VIII
352.					Buy	08/19/13	J		
353.									See Part VIII
354. -Euro Pac Gr (cl f mutual fund)	A	Dividend	K	T					See Part VIII
355.									See Part VIII
356. -Fidelity New Insights (mutual fund)	D	Dividend	M	T					
357. -Fidelity Adv Ser II (mutual fund)	C	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 25 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. -Fundamental Invs (mutual fund)	B	Dividend	L	T	Buy (add'l)	08/19/13	K		
359. -ING Emerg Countries (mutual fund)	A	Dividend			Sold	08/19/13	J		
360. -ING Mut Fd (mutual fund)		None			Sold	08/19/13	K	D	
361. -Keeley Sm Cap Value (mutual fund)	A	Dividend	K	T					
362. -Metropolitan West Total Return Bond (mutual fund)	A	Dividend	K	T					
363. -MFS Ser Tr XIII (mutual fund)	A	Dividend	K	T	Buy	07/22/13	K		
364. -Pimco Total Return (mutual fund)	A	Dividend			Sold	07/19/13	K	A	
365.									
366. Trust #1 (H)									
367. -RBC Prime Money Mkt (mutual fund)	A	Dividend	J	T					
368. -MFS Ser Tr XIII (mutual fund)	A	Dividend	J	T	Buy	07/22/13	J		
369. -Pimco Total Return (mutual fund)	A	Dividend			Sold	07/19/13	J	A	
370.									
371. Steep Earnings Curve(investment club) (H)	C	Dividend	J	T					See Part VIII
372. -Costco									
373. -Fastenal									
374.									

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. American Enterprise Inv. Svcs.(mutual fund)	B	Dividend	K	T					
376. Discover Financial Svcs. (common)	A	Dividend	K	T					
377. Honeywell Int'l. (common)	A	Dividend	K	T					
378. Morgan Stanley (common)	A	Dividend	J	T					
379. Allstate Corp. (common)	A	Dividend	K	T					
380. Sears Holding Corporation (common)	A	Interest	K	T					
381. Sears Canada (common)	A	Dividend	J	T					
382. U.S. Bank N.A. Accounts (cash & CDs)	A	Interest	M	T					
383. Twin City Federal Account (cash)		None	L	T					See Part VIII
384.									
385. Brokerage #9 (H)									
386. -E Trade cash reserve account		None	M	T					See Part VIII
387. ████████ (common)		None	M	T	Buy (add'l)	04/10/13	K		
388.					Sold (part)	04/10/13	K		
389.					Sold (part)	08/15/13	K	D	
390.					Buy (add'l)	06/01/13	J		
391.					Sold (part)	08/15/13	J	B	

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

FINANCIAL DISCLOSURE REPORT

Page 27 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392.					Sold (part)	08/19/13	L	E	
393.					Buy (add'l)	06/03/13	K		
394.					Sold (part)	08/18/13	K	D	
395. Twin City Federal Account #1 (Conservator/ Guardian)		None	J	T					See Part VIII
396. Franklin Templeton Investments Account #1 (Custodian) (X)	A	Dividend	J	T					See Part VIII
397.									
398.									

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

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

- 1) Part VII, line 221: No income received during reporting period.
- 2) Part VII, lines 264, 265, 267, 268, 270, 271, 273, 275, 277, 279, 280, 281, 282, 283, 284, 302, 304, 305, 306, 307, 309, 312, 314, 318, 326, 328, 330, 332: These assets were transferred from Brokerage 6 to Brokerage 7; not technically buys or sells as no exchange of money involved.
- 3) Part VII; lines 254, 255, 351, 353, 354 and 355: These are share class exchanges; not technically buys or sells as no exchange of money involved.
- 4) Part VII, line 371: This investment club was dissolved but funds (approximately \$2542) were left in the club's account to pay for 2013 tax preparation. Earlier in 2014 that return was filed and the final distribution made to club members after payment for that tax preparation. The assets of the club (stock) were sold prior to the end of the reporting period.
- 5) Part VII, lines 383 and 395: This is a checking account that does not pay any interest or any other form of income.
- 6) Part VII, line 386: This is a cash holding account that does not generate income.
- 7) Part VII, line 396: This account inadvertently not included in initial and amended prior reports.

RESPONSE TO LETTER DATED DECEMBER 31, 2014, generally in the order presented in that letter:

A) Line 147: Helmerich was not on the prior report because it was an initial report for Jan 1, 2012 through September 30, 2013 which included all income, but only positions and values of assets still owned on September 30, 2013. The Helmerich position was closed prior to September 30, 2013. Per page 65, no transactions were required. Per Kristina, this is correct.

B) Line 170: Macy's was inadvertently omitted and should have been listed in the prior report for income--Column B(1) should be "A", (2) should be "dividend", Column C should be left blank as again, the position was closed prior to the end of the initial reporting period. Per Kristina, there is no need to refile the initial report given this explanation.

C) Lines 271 and 280: Fidelity New Insights and Royce Value were both included on the prior report under brokerage #7 only because it had been moved during the reporting period from brokerage 6 to brokerage 7. It was reported in this report on both brokerage #6 and #7 because on this report the transactions were reportable this time.

D) Line 371: With the additions entered on this version in column C and the note above, Kristina has advised that the proper information has been provided.

E) Line 28 of PRIOR report: GE Capital is listed in line 28 of the prior report and is listed on line 12 of the current report.

F) Line 69 of PRIOR report: Delta is listed in line 69 of the the prior report and is listed on line 188 of the current report.

G) Line 86 of PRIOR report: Google is listed in line 86 of the prior report and is listed on line 145 of the current report.

H) Lines 33, 36, 37, 47, 52, 53, 54, 62, 66, 67, 68, 72, 76, 95, 98, 108, 110, 112, 115, 118, 121, 126, 134, 138, 140, 141, 146, 148, 174, 218 of PRIOR report: These position closed prior to the reporting period. They were listed on the prior report only because of income received during that reporting period.

FINANCIAL DISCLOSURE REPORT

Page 29 of 29

Name of Person Reporting

Constantine, Katherine A.

Date of Report

01/27/2015

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Katherine A. Constantine**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544