

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Menendez, Katherine M.	2. Court or Organization U.S. District Court, District of Minnesota	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Full Time United States Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States Courthouse, 8E 300 S. 4th Street Minneapolis, MN 55415		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
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. 2017	Hennepin County Attorney, Assistant County Attorney and Civil Division Manager: Salary
2. 2017	[REDACTED], City Council Member: Salary
3. 2017	[REDACTED] Economic Development Association, City Council Member: Salary
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.				
2.				
3.				
4.				
5.				

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Patterson Dental Common Stock	A	Int./Div.	K	T					
2. Walt Disney Common Stock	A	Int./Div.	J	T					
3. Minnesota 529 College Savings Accounts	A	Int./Div.	M	T					
4. Firefly Credit Union Account (formerly called US Federal Credit Union)	A	Int./Div.	J	T					
5. US Bank Account	A	Int./Div.	J	T					
6. Fidelity Blue Chip Growth Fund	A	Int./Div.	K	T					
7. Fidelity Freedom 2040 Fund	A	Int./Div.			Sold	02/21/17	K		
8. Fidelity Low Priced Stock Fund	A	Int./Div.	K	T					
9. Fidelity Small Cap Growth Fund	A	Int./Div.			Sold	02/21/17	K		
10. MSRS Growth Share Account	A	Int./Div.	J	T					
11. MSRS Stock Index Account	A	Int./Div.	J	T					
12. MSRS International Account	A	Int./Div.	J	T					
13. Columbia U.S. Social Bond Cl. C. Account	A	Int./Div.	J	T	Buy	02/17/17	J		
14. Neuberger Berman Sustainable Equity Cl C	A	Int./Div.	J	T	Buy	02/17/17	J		
15. Ameriprise Cash Reserve Certificate	A	Int./Div.	J	T	Open	11/03/17	J		
16. Fidelity 500 Index Premium Class	A	Int./Div.	K	T	Buy	02/21/17	K		
17. Columbia Acorn Intl. Fund Institutional Class	A	Int./Div.	K	T	Buy	02/21/17	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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (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. Oppenheimer Developing Market Y	A	Int./Div.	K	T	Buy	02/21/17	K		
19. Fidelity Diversified	A	Int./Div.	K	T	Buy	02/21/17	K		
20. Invesco Diversified Dividend Investor Fund	A	Int./Div.	K	T	Buy	02/21/17	K		
21. Fidelity US Bond Index Fund	A	Int./Div.	K	T	Buy	02/21/17	K		
22. Columbia Small Cap Index Fund Institutional Class	A	Int./Div.	J	T	Buy	02/21/17	J		
23. William Blair Small Cap	A	Int./Div.	J	T	Buy	02/21/17	J		
24. Blackrock Inflation Protected Bond Fund Inst. Shares	A	Int./Div.	J	T	Buy	02/21/17	J		
25. PIMCO Total Return ADM	A	Int./Div.	J	T	Buy	02/21/17	J		
26. Fidelity Limited Term Govt	A	Int./Div.	J	T	Buy	02/24/17	J		
27.									

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

VII, Line 3: This entry refers to two 529 College Savings Accounts we have for our children. We do not exercise any control over the investments made with the funds: they are invested by the fund based upon our childrens' ages.

VII, Lines 6-9, 16-26: These are my husband's retirement accounts, through his employer, Hennepin County. They are similar to the Thrift Savings Plan for federal employees. We exercise no control over the investments made within the funds. In 2017, we reallocated my husband's existing retirement savings in these accounts, and altered the allocation for future funds, in order to diversify. That is why funds listed at numbers 7 and 9 were sold, with the funds rolled over into the newly acquired funds listed at numbers 16-26.

VII, Lines 10-12: These are my husband's health savings plan, administered through his employer Hennepin County. They can only be used for medical expenses upon retirement.

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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 M. Menendez**

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