

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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><br>Constantine, Katherine A.                                                                                                            | <b>2. Court or Organization</b><br><br>Minnesota Bankruptcy Court                                                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>05/08/2017                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><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 type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>Suite 206<br>316 No Robert Street<br>St Paul MN 55101                                                                                                         |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                      | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|---------------------------------------------|----------------------------------------|
| 1. 2016     | Dorsey & Whitney LLP-retirement and pension | \$111,024.00                           |
| 2.          |                                             |                                        |
| 3.          |                                             |                                        |
| 4.          |                                             |                                        |

**B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, complete this section.***(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                               |
|-------------|------------------------------------------------------|
| 1. 2016     | Brocade Communication Systems, Inc. - 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.)*

| <u>SOURCE</u>                               | <u>DATES</u>                        | <u>LOCATION</u>           | <u>PURPOSE</u>                    | <u>ITEMS PAID OR PROVIDED</u> |
|---------------------------------------------|-------------------------------------|---------------------------|-----------------------------------|-------------------------------|
| 1. National Conference of Bankruptcy Judges | October 26, 2016 - October 29, 2016 | San Francisco, California | meetings and educational programs | partial lodging               |
| 2.                                          |                                     |                           |                                   |                               |
| 3.                                          |                                     |                           |                                   |                               |
| 4.                                          |                                     |                           |                                   |                               |
| 5.                                          |                                     |                           |                                   |                               |

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 1.     |             |       |
| 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. RBC Branch Sweep Program (Money Market)                                                                                  |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Alps (ETF)                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. AT&T (common)                                                                                                            | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Proctor & Gamble (common )                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Select Sector Spdr Tr Utilities Sector (Index Fd)                                                                        | A                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 01/26/16                | K                               |                                |                                                                   |
| 7. Southern Co. (common)                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Target (common)                                                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Teco Energy (common )                                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/26/16                | K                               | D                              |                                                                   |
| 10. Xcel Energy (common )                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Powershares Finl pfd (ETF)                                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. GE Cap Finl (C.D.)                                                                                                      | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 01/06/16                | K                               |                                |                                                                   |
| 13. Goldman Sachs Bk (C.D.)                                                                                                 | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. Freeborn Cnty MN GO (Bond)                                                                                              | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 12/15/16                | J                               |                                |                                                                   |
| 15. Columbia MN Tax Exmpt Fd (Class A MF)                                                                                   |                                         | None                                          | K                                               | T                                         | Open                                            | 12/29/16                | K                               |                                |                                                                   |
| 16. Deer River MN GO (Bond)                                                                                                 | A                                       | Interest                                      |                                                 |                                           | Redeemed                                        | 02/01/16                | K                               |                                |                                                                   |
| 17. MN Hsg Pub Svc Rev (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>H = \$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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## 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 |   |   | Redeemed           | 12/07/16 | K |  |  |
| 20. Mpls MN Spl Sch Dist GO (Bond)                           | A | Interest | K | T |                    |          |   |  |  |
| 21. MN Hsg Res Rev (Bond)                                    | A | Interest | K | T | Redeemed<br>(part) | 01/04/16 | J |  |  |
| 22. MN St GO Various Purp GO (Bond)                          | A | Interest | K | T | Buy                | 12/07/16 | K |  |  |
| 23.                                                          |   |          |   |   |                    |          |   |  |  |
| 24.                                                          |   |          |   |   |                    |          |   |  |  |
| 25. Brokerage #2 (H)                                         |   |          |   |   |                    |          |   |  |  |
| 26. US Gov't Money Mkt NKA RBC Branch<br>Sweep(money mkt fd) | A | Interest | J | T |                    |          |   |  |  |
| 27. (Metropolitan West Ttl Retrn (Mutual Fd)                 | A | Dividend | K | T |                    |          |   |  |  |
| 28. MFS Div Income (Mutual Fund)                             | A | Dividend | K | T |                    |          |   |  |  |
| 29. Anoka Cnty MN GO (Bond)                                  | A | Interest | K | T |                    |          |   |  |  |
| 30.                                                          |   |          |   |   |                    |          |   |  |  |
| 31. Brokerage #3 (H)                                         |   |          |   |   |                    |          |   |  |  |
| 32. RBC Prime Money Mkt (money market<br>fund)               | A | Interest | K | T |                    |          |   |  |  |
| 33. Activision Blizzard (common)                             | A | Dividend | J | T | Buy<br>(add'l)     | 01/21/16 | J |  |  |
| 34.                                                          |   |          |   |   | Buy<br>(add'l)     | 11/28/16 | J |  |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|                                       |   |          |   |   |                          |          |   |   |  |
|---------------------------------------|---|----------|---|---|--------------------------|----------|---|---|--|
| 35. Acuity Brands (common)            | A | Dividend | J | T | Sold<br>(part)           | 03/10/16 | J | A |  |
| 36. Adobe Systems (common)            |   | None     | J | T |                          |          |   |   |  |
| 37. Advanced Auto Parts               | A | Dividend |   |   | Sold<br>(part)           | 10/04/16 | J |   |  |
| 38.                                   |   |          |   |   | Sold                     | 10/05/16 | J |   |  |
| 39. Alexion Pharma (common)           |   | None     | J | T | Buy                      | 07/05/16 | J |   |  |
| 40. Allergan PLC FKA Actavis (common) |   | None     | J | T |                          |          |   |   |  |
| 41. Alphabet FKA Google (common)      |   | None     | J | T | Buy<br>(add'l)           | 01/05/16 | J |   |  |
| 42. Amazon (common)                   |   | None     | J | T | Buy<br>(add'l)           | 01/05/16 | J |   |  |
| 43. Andarko Pete (common)             |   | None     |   |   | Sold                     | 01/12/16 | J |   |  |
| 44.                                   |   |          |   |   | Buy                      | 10/06/16 | J |   |  |
| 45.                                   |   |          |   |   | Sold                     | 11/28/16 | J |   |  |
| 46. Apple (common)                    |   | None     | J | T | Sold<br>(part)           | 01/05/16 | J | A |  |
| 47. Archer Daniels Midland (common)   | A | Dividend | J | T | Sold<br>(part)           | 01/21/16 | J | A |  |
| 48. Avago Tech NKA Broadcom(common)   |   | None     |   |   | Merged<br>(with line 52) | 02/01/16 | J |   |  |
| 49. Biogen Idec (common)              |   | None     | J | T |                          |          |   |   |  |
| 50. Boeing (common)                   | A | Dividend | J | T |                          |          |   |   |  |
| 51. Bristol Meyers Squibb (common)    | A | Dividend | J | T |                          |          |   |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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. Broadcom Ltd                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/01/16                | J                               |                                | See Section VIII                                                  |
| 53.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/10/16                | J                               | A                              |                                                                   |
| 54. Carnival Corp (common)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/04/16                | J                               |                                |                                                                   |
| 55. Celgene Corp (common)                                                                                                   |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 12/01/16                | J                               | A                              |                                                                   |
| 56. Chevron Corp. (common)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/12/16                | J                               |                                |                                                                   |
| 57.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/06/16                | J                               |                                |                                                                   |
| 58. Comcast Corp (class A)                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Costco Wholesale (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. CSX Corp                                                                                                                |                                         | None                                          | J                                               | T                                         | Buy<br>(add'l)                                  | 12/08/16                | J                               |                                |                                                                   |
| 61. Delphi Automotive PLC                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 03/10/16                | J                               |                                |                                                                   |
| 62.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 10/06/16                | J                               | A                              |                                                                   |
| 63. Delta Airlines (common)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Dow Chemical (common)                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/26/16                | J                               |                                |                                                                   |
| 65. Edwards Lifesciences Corp (common)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 07/05/16                | J                               | C                              |                                                                   |
| 66. Eli Lilly (common)                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. EOG Res (common)                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 01/13/16                | J                               | A                              |                                                                   |
| 68. Exelon Corp                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/05/16                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/08/2017

## 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. F5 Networks (common)                                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 01/05/16                | J                               |                                |                                                                   |
| 70. Facebook (common)                                                                                                       |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 12/01/16                | J                               | A                              |                                                                   |
| 71. FedEx Corp                                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/21/16                | J                               |                                |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 03/10/16                | J                               |                                |                                                                   |
| 73. Halliburton Co (common)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/01/16                | J                               |                                |                                                                   |
| 74. Henry Schein (common)                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 75. Home Depot (common)                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. Honeywell Int'l                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/05/16                | J                               |                                |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/04/16                | J                               |                                |                                                                   |
| 78. Lear Corp (common)                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 79. Merck & Co (common)                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/01/16                | J                               | A                              |                                                                   |
| 80. Microsoft Corp (common)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/16                | J                               |                                |                                                                   |
| 81. NXP Semiconductors (common)                                                                                             |                                         | None                                          | J                                               | T                                         | Sold<br>(part)                                  | 11/10/16                | J                               | A                              |                                                                   |
| 82. Newell Rubbermaid (common)                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. Newfield Exploration (common)                                                                                           |                                         | None                                          | J                                               | T                                         | Buy                                             | 03/07/16                | J                               |                                |                                                                   |
| 84. Nextera Energy (common)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 85. Occidental Pete (common)                                                                                                | A                                       | Dividend                                      | 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.

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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      |                         |                                 |                                |                                                                   |
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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) |

|                                          |   |          |   |   |                           |          |   |   |  |
|------------------------------------------|---|----------|---|---|---------------------------|----------|---|---|--|
| 86. Parker Hannifin Corp (common)        |   | None     | J | T | Buy                       | 12/01/16 | J |   |  |
| 87. Pepsico (common)                     | A | Dividend | J | T | Buy<br>(add'l)            | 10/04/16 | J |   |  |
| 88. Pioneer Natural Resources (common)   | A | Dividend | J | T | Buy                       | 01/13/16 | J |   |  |
| 89. Raytheon Corp (common)               | A | Dividend | J | T | Buy                       | 01/21/16 | J |   |  |
| 90.                                      |   |          |   |   | Buy<br>(add'l)            | 03/10/16 | J |   |  |
| 91. Salesforce.com (common)              |   | None     | J | T |                           |          |   |   |  |
| 92. Select Fin'l Sector SPDR Tr (ETF)    | A | Dividend | K | T |                           |          |   |   |  |
| 93. Select Real Est Sector SPDR Tr (ETF) | A | Dividend | J | T | Spinoff<br>(from line 92) | 09/21/16 | J |   |  |
| 94. Snap-On Inc (common)                 | A | Dividend | J | T |                           |          |   |   |  |
| 95. Stryker Corp (common)                | A | Dividend | J | T |                           |          |   |   |  |
| 96. TJX Companies (common)               | A | Dividend | J | T |                           |          |   |   |  |
| 97. Vulcan Materials (common)            | A | Dividend | J | T |                           |          |   |   |  |
| 98. Wabtec Corp (common)                 | A | Dividend | J | T | Sold<br>(part)            | 04/26/16 | J | A |  |
| 99. Walt Disney (common)                 | A | Dividend |   |   | Sold<br>(part)            | 01/05/16 | J | B |  |
| 100.                                     |   |          |   |   | Sold                      | 06/01/16 | J | B |  |
| 101. Westrock Co (common)                |   | None     |   |   | Sold                      | 01/21/16 | J |   |  |
| 102. Whirlpool Corp (common)             | A | Dividend | J | T | Sold<br>(part)            | 01/21/16 | J | A |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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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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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (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. Whitewave Foods Co (common)                                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 10/04/16                | J                               | A                              |                                                                   |
| 104. Zimmer Holdings (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 106. Brokerage #4 (H) Moved to Brokerage #7                                                                                 |                                         |                                               |                                                 |                                           | Merged<br>(with line 118)                       |                         |                                 |                                | See Section VIII                                                  |
| 107.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 108. Brokerage #5 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 109. Blackrock Eq Div Tr (ETF)                                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 110. Delaware Invts MN Muni Inc (mutual fund)                                                                               | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 12/07/16                | K                               |                                |                                                                   |
| 111. Kayne Anderson (common)                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/16/16                | J                               |                                |                                                                   |
| 112. MN Hsg Pub Human Svc (Bond)                                                                                            | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 113. Nuveen AMT Value Fd (ETF)                                                                                              | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 12/07/16                | K                               |                                |                                                                   |
| 114. Xcel Energy (common)                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 116. Brokerage Account #6 Dorsey 401k (H)<br>Closed                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 117.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 118. Brokerage Acct #7 (H)                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 119. Federated Money Mkt NKA RBC Bk<br>Depositmoney mkt mutual fund)                                                        | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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| 120. Amer Fds Capital Income Bldr (mutual fund) Class F                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/15/16                | J                               | B                              |                                                                   |
| 121. Amer Fds Euro Pac Gr (mutual fund)                                                                                     | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122. Buffalo Fds Mid Cap (mutual fund)                                                                                      | D                                       | Dividend                                      |                                                 |                                           | Sold (part)                                     | 01/27/16                | K                               | A                              |                                                                   |
| 123.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/03/16                | L                               |                                |                                                                   |
| 124. Dodge & Cox Fund Int'l Stock (mutual fund) Class F                                                                     | C                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. Dodge & Cox Income (mutual fund) Class I                                                                               | C                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 01/26/16                | K                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/15/16                | J                               |                                |                                                                   |
| 127. Fidelity New Insights (cl i mutual fund)                                                                               | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. First Trust Exchange Fd (mutual fund)                                                                                  | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 11/29/16                | K                               |                                |                                                                   |
| 129. iShares Russell 1000 Gr (ETF)                                                                                          | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. iShares Russell 1000 Value (ETF)                                                                                       | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 131. iShares S&P Sm Cap 600 (ETF)                                                                                           | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132. Mairs & Power Fd Sm Cap Fd (mutual fund)                                                                               | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/03/16                | J                               |                                |                                                                   |
| 133. Metropolitan West Total Return Bond(mutual fund)                                                                       | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134. MFS Div Inc (mutual fund)                                                                                              | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. Parnassus Core Equity Fd (mutual fund)                                                                                 | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. T Rowe Price Gr Stk (mutual fund)                                                                                      | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 137. Thornburg Int'l Value (mutual fund)                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/21/16                | J                               |                                |                                                                   |
| 138. Vanguard Total Bond Market (ETF)                                                                                       | B                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 08/03/16                | K                               |                                |                                                                   |
| 139. Vanguard Admiral S&P MidCap400 Index (ETF)                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/03/16                | K                               |                                |                                                                   |
| 140. Vanguard Admiral S&P Sm Cap 600 Index (ETF)                                                                            | A                                       | Distribution                                  | K                                               | T                                         | Buy                                             | 08/03/16                | K                               |                                |                                                                   |
| 141. American Express Centurion BK                                                                                          | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142. Sallie Mae Bk Slt Lake City (C.D.)                                                                                     | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 143. GE Cap Retrail Bk Utah (C.D.)                                                                                          | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144. GE Cap Retail Bk Draper Utah(C.D.)                                                                                     | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. Goldman Sachs Bk USA NY (C.D.)                                                                                         | B                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. AT & T unsecured OID                                                                                                   | B                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. AXA Variable Annuity                                                                                                   |                                         | None                                          | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 148.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 149. Brokerage #8 (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 150. RBC Branch Sweep nka Bank Deposit Prog(money market program)                                                           | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 151. Amer Fds Capital Inc Bldr (mutual fund)                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/16/16                | J                               |                                |                                                                   |
| 152. Amer Fds Euro Pac Gr (cl f1 mutual fund)                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. Amer Fds Euro Pac Gr (cl f-2 mutual fund)                                                                              | A                                       | Dividend                                      | 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

05/08/2017

## 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. Brocade Commun Syst (common)                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155. Fidelity New Insights (mutual fund)                                                                                    | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. Fundamental Invs (mutual fund)                                                                                         | D                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 157. Ishares Biotechnology (ETF)                                                                                            | A                                       | Dividend                                      | K                                               | T                                         | Buy                                             | 08/16/16                | K                               |                                |                                                                   |
| 158. Ishares Russell Mid Cap Gr (ETF)                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. Keeley Sm Cap Value (mutual fund)                                                                                      |                                         | None                                          |                                                 |                                           | Sold                                            | 11/16/16                | K                               | E                              |                                                                   |
| 160. Lord Abbett Sec Tr Value Opp (mutual fund)                                                                             | A                                       | Dividend                                      | K                                               | T                                         | Sold (part)                                     | 08/16/16                | J                               |                                |                                                                   |
| 161. Mairs & Pwr Small Cap Fd (mutual fund)                                                                                 | B                                       | Dividend                                      | L                                               | T                                         | Buy                                             | 08/16/16                | K                               |                                |                                                                   |
| 162. Metropolitan West Total Return Bond (mutual fund)                                                                      | A                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 11/16/16                | J                               |                                |                                                                   |
| 163. MFS Ser Tr XIII AKA Diversified Income(mutual fund)                                                                    | A                                       | Dividend                                      | K                                               | T                                         | Sold (part)                                     | 08/16/16                | J                               |                                |                                                                   |
| 164. MFS Growth (mutual fund)                                                                                               | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 165. MFS Utilities Fd (mutual fund)                                                                                         | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 166. Tr for Prof Mgrs Snow Cap Small Cap Value (mutual fd)                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 08/16/16                | J                               |                                |                                                                   |
| 167. Vanguard Admiral Small Cap Fd (mutual fund)                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/16/16                | J                               |                                |                                                                   |
| 168.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 169. Brokerage #9 (H) Etrade                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 170. ETrade Cash Reserve Account                                                                                            |                                         | None                                          | 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

05/08/2017

## 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. Brocade (common)                                                                                                     |                                         | None                                          | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 172. Twin City Federal Account #1 (conservator/<br>Guardian)                                                              |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 173.                                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 174. Account #10 (H)                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 175. RBC Branch Sweep (Money Market<br>Program)                                                                           | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. Ally Bk Midvale Utah (C.D.)                                                                                          | B                                       | Interest                                      | L                                               | T                                         | Sold<br>(part)                                  | 11/28/16                | L                               |                                |                                                                   |
| 177.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/07/16                | K                               |                                |                                                                   |
| 178.                                                                                                                      |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/07/16                | K                               |                                |                                                                   |
| 179. GE Cap Bk Retail (C.D.)                                                                                              | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 180. American Express Cent Bk (C.D.)                                                                                      | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181.                                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 182. Trust #1 (H)                                                                                                         |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 183. RBC Branch Sweep (Money Market<br>Program)                                                                           |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 184. MFS Ser Tr XIII Diversified Inc (mutual<br>fund)                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 185.                                                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 186. American Enterprise Inv Svc (mutual fd)                                                                              | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 187. Discover Financial Svcs (common)                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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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                                              |                         |

# 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. Honeywell Int'l (common)                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 189. Morgan Stanley (common)                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. Allstate Corp (common)                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 191. Sears Holding Corp (common)                                                                                            |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 192. Sears Canada (common)                                                                                                  |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 193. U.S. Bank N.A. Accts (cash & CD's)                                                                                     | A                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 194. Twin City Federal Acct (Cash)                                                                                          | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 195.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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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05/08/2017

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

Line 2 RBC Branch Sweep Money Market - No income rec'd during reporting period  
Line 12 GE Capital Sale - No gain  
Line 14 Freeborn Cty Bond Redemption @ par - No gain  
Line 15 Columbia Tax Exempt Fd - no income rec'd during reporting period  
Line 16 Deer River Bond Redemption @ - No gain  
Line 19 MN Streets/Hwys Bond Redemption @ par - No gain  
Line 21 Minneapolis Hsg Bond partial redemption at par - No gain  
Line 36 Adobe Systems - No income rec'd during reporting period  
Lines 37 & 38 Advanced Auto Parts - No gain  
Line 39 Alexion Pharma - No income rec'd during reporting period  
Line 40 Allergan - No income rec'd during reporting period  
Line 41 Alphabet - No income rec'd during reporting period  
Line 42 Amazon - No income rec'd during reporting period  
Line 43 Andarko Pete - No income rec'd during reporting period  
Line 46 Apple - No income rec'd during reporting period  
Lines 43 & 45 Andarko Petroleum - No gain  
Lines 48 & 52 - Avago Tech merged to into Broadcom  
Line 49 Biogen - No income rec'd during reporting period  
Line 55 Celgene - No income rec'd during reporting period  
Line 60 CSX - No income rec'd during reporting period  
Line 61 Delphi Automotiv - No gain  
Line 65 Edwards Life Sciences - no income rec'd during reporting period  
Line 69 FS Networks Sale - No gain - No income  
Line 70 Facebook - No income rec'd during reporting period  
Lines 71 & 72 Fed Ex Sale - No gain  
Line 74 Henry Schien - No income rec'd during reporting period  
Line 81 NXP Semiconductors - No Income rec'd during reporting period  
Line 83 Newfield Exploration - No income rec'd during reporting period  
Line 86 Parker Hannafin - No income rec'd during reporting period  
Line 91 Salesforce - No income rec'd during reporting period  
Line 101 Westrock Co Sale - No gain - No income  
Line 103 Whitewave - no income during reporting period  
Line 106 Account #4 no longer exists - assets were combined with another same name IRA - Account #7 near the end of 2016  
Line 111 Kayne Anderson Sale - no gain  
Line 159 Keeley Sm Cap Fd - no income rec'd during reporting period  
Line 170 ETrade Cash Reserve - no income during reporting period  
Line 171 Brocade - No income rec'd during reporting period  
Line 183 RBC Br Sweep Money Mkt - no income paid during reporting period  
Lines 193 & 194 U.S. Bank & Twin City Federal - Checking accounts that do not pay any form of income

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Constantine, Katherine A.

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05/08/2017

## 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