

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

1. Person Reporting (last name, first, middle initial) Kennedy, Heather L.	2. Court or Organization District Court for the Northern Mariana Islands	3. Date of Report 06/10/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Clerk of Court/Part-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 123 Kopa di Oru Street P.O. Box 500687 Saipan, MP 96950		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. 2015

Office of the Public Defender, Northern Mariana Islands - Salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Bank of Hawaii accounts	A	Int/Div.	L	T					
2. -American Funds VCSP/College America	C	Int/Div.	L	T					
3. State of Missouri 401(a) plan									
4. -Federated U.S. Govt. Securities 2-5 yr fund	A	Int/Div.	J	T					
5. -Missouri 2020 fund	A	Int/Div.	J	T					
6. -American Century Equity Inc. fund	A	Int/Div.	J	T					
7. -American Century Ultra fund	A	Int/Div.	J	T					
8. -Goldman Sachs Mid Cap Value	A	Int/Div.	J	T					
9. -Neuberger Berman Genesis Trust	A	Int/Div.	J	T					
10. -T Rowe Price Intl stock fund	A	Int/Div.	J	T					
11. USAA 529 College savings plan	A	Int/Div.	K	T					
12. Nationwide Annuity contract									
13. -FIDVIP Hi Income initial	A	Int/Div.	J	T					
14. -JNSASP FRTSVC	A	Int/Div.	J	T					
15. -NW AMFDS NVIT GLBL GR II	A	Int/Div.	J	T					
16. -NW AMFDS NVIT GR II	A	Int/Div.	J	T					
17. -NW NVIT LG CAP GR I	A	Int/Div.	J	T					

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

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

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

18. -NW NVIT MTUL MGR SM CO I	C	Int./Div.	K	T					
19. -NW NVIT REALEST I	C	Int./Div.	K	T					
20. -VANECK VIP GL BHRD ASST INITIAL	A	Int./Div.	J	T					
21. -WR VIP ASST STRAT	A	Int./Div.	J	T					
22. Calvert Equity Portfolio A	B	Int./Div.	J	T					
23. Calvert Global Energy Solutions Fund A	A	Int./Div.	J	T					
24. Calvert Global Water Fund A	A	Int./Div.	J	T					
25. NMI Public Employee DC Plan									
26. -BlackRock Health Sciences Opps Instl	A	Int./Div.	J	T					
27. -BlackRock Inflation Protected Bond Ins	A	Int./Div.	J	T					
28. -DFA US Small Cap I	A	Int./Div.			Sold	03/31/15	J	A	See Note Part VIII
29. -DFA US Small Cap Value I	A	Int./Div.	J	T	Spinoff (from line 28)	03/31/15	J		
30. -Eagle Mid Cap Growth R6	A	Int./Div.	J	T					
31. -Fidelity Instl Money Market	A	Int./Div.	J	T	Spinoff (from line 32)	03/31/15	J		
32. -Fidelity Retirement Money Market	A	Int./Div.			Sold	03/31/15	J	A	See Note Part VIII
33. -Fidelity Select Software & IT Svcs	A	Int./Div.	J	T					
34. -Goldman Sachs Emerging Mkt Debt	A	Int./Div.	J	T	Spinoff (from line 37)	06/28/15	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -Harbor Capital Appreciation Instl	A	Int./Div.	J	T					
36. -Neuberger Berman High Income Bond	B	Int./Div.	J	T					
37. -Stone Harbor Emerging Mkts Debt Instl	A	Int./Div.			Sold	06/28/15	J	A	See Note Part VIII
38. -Templeton Global Bond Adv	A	Int./Div.	J	T					
39. -Wells Fargo Advantage Emerging Mkts	A	Int./Div.			Sold	06/28/15	J	A	See Note Part VIII
40. -Virtus Emerging Markets Opportunities	A	Int./Div.	J	T	Spinoff (from line 39)	06/28/15	J		
41. -iShares Gold Trust	A	Int./Div.	J	T					
42. USAA Investment Management Account									
43. -USAA Extended Market Index Fund (Y)									
44. -USAA Government Securities Fund (Y)									
45. -USAA Income Fund (Y)									
46. -USAA International Fund (Y)									
47. -USAA Precious Metals and Minerals Fund (Y)									
48. -USAA Science & Technology Fund (Y)									
49. -USAA Tax Exempt Short-Term Fund	A	Int./Div.			Sold	11/16/15	J	A	
50. -USAA World Growth Fund (Y)									
51. Vanguard Life Strategy Moderate Growth Fund Roth IRA	C	Int./Div.	M	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52. Vanguard Target Retirement 2025 - Traditional IRA	B	Int./Div.	L	T					
53. Vanguard Convertible Securities Fund - Roth IRA	A	Int./Div.	K	T					
54. Vanguard Wellesley Income Fund Inv - Roth IRA	B	Int./Div.	K	T					
55. Vanguard Wellington Fund Admiral - Roth IRA	D	Int./Div.	M	T					
56. Vanguard Investment Account									
57. -Balanced Index Fund	A	Int./Div.	J	T					
58. -Dividend Growth Fund	A	Int./Div.	J	T	Sold (part)	11/05/15	J	C	
59. -Emerging Mkts Stock Index	A	Int./Div.			Sold	11/12/15	J	A	
60. -Energy Fund Investor	A	Int./Div.	J	T					
61. -Equity Income Fund	A	Int./Div.	J	T	Sold (part)	11/12/15	J	C	
62. -Explorer Fund Investor	A	Int./Div.	J	T	Sold (part)	11/05/15	J	C	
63. -Explorer Fund Investor					Sold (part)	11/09/15	J	A	
64. -GNMA Fund Investor	A	Int./Div.	J	T					
65. -Health Care Fund	A	Int./Div.	J	T					
66. -Inflation-Protected Securities	A	Int./Div.			Sold	11/12/15	J	A	
67. -Intermediate Term Treasury	A	Int./Div.	J	T	Sold (part)	11/12/15	J	A	
68. -International Growth	A	Int./Div.	J	T					

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69. -International Value	A	Int./Div.			Sold	11/05/15	J	A	
70. -Long Term Invest - GR	A	Int./Div.	J	T					
71. -Long-Term Treasury	A	Int./Div.	J	T					
72. -Mid-Cap Growth Index	A	Int./Div.			Sold	11/09/15	J	A	
73. -REIT Index Fund Adm	A	Int./Div.	J	T	Sold (part)	11/09/15	J	B	
74. -Small-Cap Growth Index	A	Int./Div.	J	T					
75. -Total Bond Market Index	A	Int./Div.	J	T					
76. -Total Intl Stock Ix	A	Int./Div.	J	T					
77. -Wellesley Income Fund	A	Int./Div.			Sold	11/05/15	J	B	
78. -Putnam Multi Cap Growth Fund (IRA)	A	Int./Div.	J	T					
79. -Putnam Multi Cap Growth Fund (Roth IRA)	A	Int./Div.	K	T					
80. North Carolina Credit Union	A	Int./Div.	J	T					
81. USAA Certificate of Deposit	A	Int./Div.	J	T					
82. USAA Savings Account	A	Int./Div.	K	T					

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Section D, lines 29 and 30 - funds in the DFA US Small Cap Value Fund I were transferred to the DFA US Small Cap Fund I

Part VII, Section D, lines 32 and 33 - funds in the Fidelity Retirement Money Market fund were transferred to the Fidelity Institutional Money Market Fund

Part VII, Section D, lines 35 and 38 - funds in the Stone Harbor Emerging Markets Debt Institutional fund were transferred to the Goldman Sachs Emerging Markets Debt Fund

Part VII, Section D, lines 40 and 41 - funds in the Wells Fargo Advantage Emerging Markets fund were transferred to the Virtus Emerging Markets Opportunities Fund

Part VII lines 3,12,25,42 and 56 are header accounts.

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IX. CERTIFICATION.

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

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

Signature: s/ **Heather L. Kennedy**

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