

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Nelson, Susan R.	2. Court or Organization U.S. District Court Minnesota	3. Date of Report 11/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge, active status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 774 U.S. Courthouse 316 North Robert Street St. Paul, MN 55101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Director (Advisory Board)	Minnesota Women Lawyers
2.	
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. 05/01/00	Retirement plan with Robins, Kaplan, Miller & Ciresi (RKMC), firm-managed deferred pension plan
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. 2016

Stinson Leonard Street - partnership salary and distribution

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.)*

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

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Chase	Credit Card	J
2.	American Express	Credit Card	J
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. UBS Money Market	A	Interest	J	T					
2. Thor Industries Stock - Common	A	Dividend	J	T					
3. Evergreen Equity Tr Bal. Fund (now Wells Fargo)	D	Dividend	N	T					
4. First American Tech. Fund (now Nurveen Mid-Cap Select Fund)	A	Dividend	J	T					
5. Stinson Leonard Street 401K (not self-directed)	E	Interest	O	T					
6. RKMC 401K (now Charles Schwab) (H) (assets listed below)									
7. - JPMorgan MLP Stock ETN	A	Dividend	J	T					
8. - Kinder Morgan Inc.	A	Dividend	J	T					
9. - S&P US Energy Stocks	A	Dividend	J	T					
10. - SPDR US Large Stocks-SP500	A	Dividend	K	T					
11. - US Low Volatility Stock Fund	A	Dividend	J	T					
12. - Vanguard Reit Stock Fund	A	Dividend	J	T					
13. - Vanguard US High Dividend St	A	Dividend	K	T					
14. - Vanguard US Value Stock Fund	A	Dividend	K	T					
15. - EmergMarket LowVol Stocks	A	Dividend	J	T					
16. - Intl Div Stocks-Ex Fincls	A	Dividend	J	T					
17. - Intl. Low Vol Stock Fund	A	Dividend	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 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18. - Ishares Intl. Dividend Stocks	A	Dividend	J	T					
19. - Vanguard Emerging Market Sto	A	Dividend	J	T					
20. - Vanguard International Stocks	A	Dividend	K	T					
21. - Pimco Total Return Bond	A	Dividend	K	T					
22. - S&P Short-Term Corp Bonds	A	Dividend	K	T					
23. - Spdr Intern. Corp Bonds	A	Dividend	L	T					
24. - Vang US Total Bond Index Fun	A	Dividend	L	T					
25. - Vanguard ST Corp Bond Fund	A	Dividend	L	T					
26. - Vanguard ST inflation bonds VTIP	A	Dividend	K	T					
27. Private Bank Checking Account (now Alerus)	A	Interest	J	T					
28. Private Bank Checking Account (now Alerus)	A	Interest	J	T					
29. Morgan Stanley: AMERICAN CAP INC BUILDER A	A	Dividend	J	T					
30. Morgan Stanley: AMERICAN CAP WRLD GR & INC A	A	Dividend	J	T					
31. Morgan Stanley: EUROPACIFIC GRW A	A	Dividend	J	T					
32. Morgan Stanley: GR FD OF AMERICA A	A	Dividend	J	T					

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

Part VII. Lines 7-26 added to this Amended Report, per the Committee's Request.

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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/ **Susan R. Nelson**

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