

**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) Rau, Steven E.	2. Court or Organization US District Court - District Court of Minnesota	3. Date of Report 04/05/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 1/1/2015 to 12/31/2015
	5b. ☐ Amended Report	
7. Chambers or Office Address 316 North Robert St Suite 334 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.		
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.		
2.		
3.		

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Name of Person Reporting

Rau, Steven E.

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME
(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)



NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)



NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

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 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. UGMA									
2. AT&T Inc	A	Dividend			Sold	12/21/15	J	A	
3. Apple, Inc.	A	Dividend			Sold	12/21/15	J	B	
4. Berkshire Hathaway Inc		None	J	T					
5.									
6. UGMA									
7. Alliance Bernstein Core Opportunities Fund Class C ADGCX		None	J	T					
8. Berkshire Hathaway Inc		None	J	T					
9.									
10. IRA									
11. Berkshire Hathaway		None	K	T					
12. Columbia Select Large - UMLGX		None	M	T	Sold (part)	3/12/15	J	A	
13. Columbia Fund Ser Tr-CEEZX	A	Dividend	K	T					
14. Merger Fund Sh Ben Int-MERFX	A	Dividend			Sold	3/12/15	J	A	
15. Wells Fargo Fds Trust-WARDX	A	Dividend			Sold	03/12/15	L	A	
16. Wells Fargo Fds Tr-WDHYX	B	Dividend	K	T	Sold (part)	03/12/15	L	A	
17. Spider S&P Biotech EFT-XBI	A	Dividend	K	T	Sold (part)	03/12/15	J	B	

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

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18. Thornburg Inv Tr-THDIX	A	Dividend	K	T	Buy	2/21/15	K		
19. Wells Fargo Funds Tr-WFMIX	A	Dividend	K	T					
20. Abbvie, Inc. -ABBV	A	Dividend	J	T	Buy	03/12/15	J		
21. EMC Corp Mass-AMC	A	Dividend	J	T	Buy	03/12/15	J		
22. Intel Corp-INTC	A	Dividend	K	T	Buy	03/12/15	K		
23. Johnson & Johnson - JNJ	A	Dividend	K	T	Buy	03/12/15	K		
24. Merck & Co., Inc. - MRK	A	Dividend	J	T	Buy	03/12/15	J		
25. Microsoft Corp - MSFT	A	Dividend	K	T	Buy	03/12/15	K		
26. Apple, Inc., -AAPL	A	Dividend	K	T	Buy	07/08/15	K		
27. Procter & Gamble Co- PG	A	Dividend	K	T	Buy	07/08/15	K		
28. Goldman Sachs Bank SD	A	Interest	K	T	Buy	07/08/15	K		
29. Synchrony Bank CD	A	Interest	K	T	Buy	07/08/15	K		
30.									
31. IRA									
32. Abbvie	A	Dividend	K	T					
33. Alerian MLP ETF	B	Dividend	J	T	Buy	07/08/15	J		
34. Amgen Inc.	A	Dividend			Sold	7/8/15	J	C	

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

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35. Apple, Inc.	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
36. AT&T Inc.	A	Dividend	K	T					
37. Berkshire Hathaway		None	K	T					
38. Bristol Meyers Squibb	A	Dividend	J	T	Sold (part)	07/08/15	K	D	
39. Celgene Corp		None	K	U					
40. Chevron Corporation	A	Dividend	J	T					
41. Coach	A	Dividend			Sold	07/08/15	J	A	
42. Coca-Cola	A	Dividend	J	T					
43. Danaher Corp	A	Dividend			Sold	07/08/15	J	D	
44. EMC Corp	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
45. Emerson Electric Co	A	Dividend	J	T	Buy	07/08/15	J		
46. Exxon Mobil Corp	A	Dividend	J	T					
47. General Electric Company	A	Dividend	K	T					
48. Intel Corp	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
49. Ishares Global Tech - IXN	A	Dividend	J	T					
50. Johnson & Johnson	A	Dividend	K	T					
51. Merck & Co Inc.	A	Dividend	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 \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. Mainstay Fd High Yield	B	Dividend			Sold	07/08/15	J	A	
53. Microsoft Corp	A	Dividend	K	T	Buy (add'l)	07/08/15	J		
54. Novartis AG	A	Dividend	K	T					
55. Oppenheimer Dev Markets-ODVYX	A	Dividend	K	T					
56. Pfizer	A	Dividend	K	T					
57. Target Corp	A	Dividend			Sold	07/08/15	K	D	
58. Templeton Funds - TGBAX	A	Dividend			Sold	07/08/15	J	A	
59. Thornburg Inv Tr Developing World Fd-THDIZ	A	Dividend	J	T					
60. 3M	A	Dividend			Sold	07/08/15	J	D	
61. Total S A Sponsored ADR TOT	A	Dividend	J	T					
62. United Technologies Corp	A	Dividend	J	T					
63. Wells Fargo Funds - WARDX	A	Dividend	J	T					
64. Wells Fargo Fds Tr-WDHYX	B	Dividend	L	T					
65. Wells Fargo Advantage-SCVIX	A	Dividend	J	T					
66. Wells Fargo Advantage - SCVIX	A	Dividend	J	T					
67. WGL Holdings Inc-WGL	A	Dividend	K	T					
68. Chambers Street Properties (formerly CB Richard Ellis)	A	Int./Div.			Sold	07/08/15	J	A	

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69. Lehman Brothers Holdings ESC	A	Int./Div.	J	T	Sold (part)	04/02/15	J	A	
70. Lehman Brothers Holdings ESC	A	Int./Div.	J	T	Sold (part)	10/1/15	J	A	
71. ING Group NV 7.375% Pfd	A	Int./Div.			Sold	07/15/15	J	A	
72. GE Capital Retail Bank CD	A	Int./Div.	J	T	Buy	07/08/15	J		
73. Goldman Sachs Bank USA CD	A	Int./Div.	J	T	Buy	07/08/15	J		
74.									
75. Joint Account									
76. Abbvie (spinoff from Abbott)	A	Dividend	K	T					
77. American Electric Power Inc-AEP	A	Dividend	K	T					
78. AT&T-Inc-T	A	Dividend	J	T					
79. Bristol Myers Squibb-BMY	A	Dividend	K	T	Sold (part)	07/08/15	J	D	
80. Chevron Corporation-CVX	A	Dividend			Sold	09/23/15	J	A	
81. Welltower, Inc. -HCN	A	Dividend	J	T					
82. Intel Corp-INTC	A	Dividend	K	T					
83. Johnson & Johnson-JNJ	A	Dividend	K	T					
84. Merck & Co Inc -MRK	A	Dividend	K	T					
85. Novartis AG Spon ADR-NVS	A	Dividend	K	T					

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86. Pepsico Inc-PEP	A	Dividend	J	T					
87. PG&E Corporation - PCG	A	Dividend	J	T					
88. Qualcomm, Inc. - QCOM	A	Dividend			Sold	09/23/15	J	A	
89. Sanofi Adr-SNY	A	Dividend	J	T	Buy	07/08/15	J		
90. Sanofi Adr-SNY	A	Dividend			Sold	12/28/15	J	A	
91. Target Corp-TGT	A	Dividend			Sold	07/08/15	K	D	
92. United Techonologies Corp-UTX	A	Dividend	J	T					
93. Wells Fargo Company-WFC	D	Dividend	O	T	Buy (add'l)	03/15/15	N		
94. Wells Fargo Company - WFC	C	Dividend	O	T	Sold (part)	12/28/15	N	A	
95.									
96. WGL Holdings Inc-WGL	A	Dividend	J	T					
97. Wells Fargo Money Market Fund	A	Int./Div.	L	T					
98. Wells Fargo Funds Tr-WHYDX	A	Dividend	J	T	Buy	07/08/15	J		
99.									
100. Alliance Bernstein 529 Growth C		None	M	T					
101. Tiger Building LP Note	C	Int./Div.	K	U					
102.									

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103.									

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

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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/ Steven E. Rau**

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