AO 10
Rev. 1/2017

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial)	2. Court or Organization	3. Date of Report
Constantine, Katherine A.	Minnesota Bankruptcy Court	5/8/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
US Bankruptcy Court Judge	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2017 **to** 12/31/2017
7. Chambers or Office Address		
Suite 206 316 No 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
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.)*

	DATE	PARTIES AND TERMS
1.	2013/2014	Dorsey & Whitney LLP (former law firm) Retirement Payment Agreement, fixed payments/no control
2.		
3.		

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.	2017	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.)*

	DATE	SOURCE AND TYPE
1.	2017	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.)*

	SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.					
2.					
3.					
4.					
5.					

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.			

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Brokerage #1 (H)									
2. RBC Branch Sweep Program (Money Market)	A	Interest			Closed	08/14/17	J		see section VIII
3. USB Dep Acct (Moneey Market)	A	Interest	J	T	Open	08/14/17	J		see section VIII
4. Alps (ETF)	A	Dividend			Sold	12/14/17	J		
5. AT&T (common)	B	Dividend	K	T	Buy (add'l)	01/13/17	J		
6. Proctor & Gamble (common)	A	Dividend	J	T					
7. Select Sector Spdr Tr Utilities Sector (Index Fd)	A	Dividend	K	T					
8. Southern Co. (common)	A	Dividend	J	T					
9. Target (common)	A	Dividend	J	T					
10. Xcel Energy (common)	A	Dividend	K	T					
11. Powershares Finl pfd (ETF)	B	Dividend	K	T					
12. Goldman Sachs Bk (C.D.)	A	Interest			Sold	01/05/17	K		
13. Columbia MN Tax Exmpt Fd (Class A MF)	A	Interest			Sold	03/23/17	K	A	
14. Fridley MN GO (Bond)	A	Interest	K	T	Buy	01/13/17	K		
15. MN Hsg Pub Svc Rev (Bond)	A	Interest	K	T					
16. Mpls MN Library GO (Bond)	A	Interest	K	T					
17. Mpls MN Spl Sch Dist GO (Bond)	A	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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Constantine, Katherine A.	5/8/2018

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
18. MN St GO Various Purp GO (Bond)	A	Interest	K	T					
19. MN St GO Trunk Hwy (Bond)	A	Interest	L	T	Buy	01/13/17	L		
20.									
21. Brokerage #2 (H)									
22. US Gov't Money Mkt NKA RBC Branch Sweep(money mkt fd)	A	Interest			Closed	08/11/17	J		see section VIII
23. UBS RMA Gov't Money Mkt Fd	A	Dividend	J	T	Open	08/11/17	J		see section VIII
24. Invesco Diversified Divs (Mutual Fd)	A	Dividend	K	T	Buy	01/17/17	K		
25. (Metropolitan West Ttl Retrn (Mutual Fd)	A	Dividend	K	T					
26. MFS Div Income (Mutual Fund)	A	Dividend			Sold	01/17/17	K	A	
27. Anoka Cnty MN GO (Bond)	A	Interest	K	T					
28.									
29. Brokerage #3 (H)									
30. RBC Prime Money Mkt (money market fund)	A	Interest			Closed	10/04/17	L		see section VIII
31. UBS USA Deposit (money market)	A	Interest	J	T	Open	10/04/17	L		see section VIII
32. Activision Blizzard (common)	A	Dividend	J	T	Sold (part)	02/07/17	J	A	
33.					Sold (part)	06/12/17	J	A	
34. Acuity Brands (common)	A	Dividend			Sold (part)	03/31/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
35.					Sold	09/13/17	J	A	
36. Adobe Systems (common)		None	J	T	Sold (part)	06/05/17	J	A	
37. Alexion Pharma (common)		None			Sold	06/05/17	J		
38. Allergan PLC FKA Actavis (common)	A	Dividend			Sold	12/14/17	J	A	
39. Alphabet FKA Google (common)		None	K	T	Sold (part)	01/17/17	J	A	
40.					Sold (part)	05/11/17	J	B	
41.					Buy (add'l)	09/13/17	J		
42. Amazon (common)		None	K	T	Buy (add'l)	02/07/17	J		
43.					Buy (add'l)	09/13/17	K		
44. Apple (common)	A	Dividend	L	T	Buy (add'l)	02/07/17	J		
45.					Buy (add'l)	12/14/17	K		
46.					Buy (add'l)	12/26/17	K		
47. Archer Daniels Midland (common)	A	Dividend			Sold	09/13/17	J	A	
48. Biogen Idec (common)		None	J	T					
49. Bioverativ (common)	A	Dividend			Spinoff (from line 48)	02/01/17	J		
50.					Sold	03/24/17	J		
51. Blackrock Municipal (mutual fund)	A	Dividend	K	T	Buy	09/13/17	J		

1. Income Gain Codes: (See Columns B1 and D4)
2. Value Codes (See Columns C1 and D3)
3. Value Method Codes (See Column C2)

A =$1,000 or less
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52.					Buy (add'l)	12/14/17	J		
53. Boeing (common)	A	Dividend	J	T					
54. Bristol Meyers Squibb (common)	A	Dividend			Sold	09/13/17	J	A	
55. Broadcom Ltd	A	Dividend	K	T	Buy (add'l)	12/14/17	K		
56. Carnival Corp (common)	A	Dividend	J	T					
57. Celgene Corp (common)		None			Sold	12/13/17	J	B	
58. Chevron Corp. (common)	A	Dividend	J	T					
59.									
60. Comcast Corp (class A)	A	Dividend	J	T					
61. Costco Wholesale (common)	A	Dividend	K	T	Sold (part)	02/07/17	J	A	
62.					Buy (add'l)	12/14/17	K		
63. CSX Corp	A	Dividend			Buy (add'l)	01/18/17	J		
64.					Sold	09/13/17	J	B	
65. Delta Airlines (common)	A	Dividend	J	T					
66. Diamondback Energy (common)		None			Buy	02/14/17	J		
67.					Sold	09/13/17	J		
68. Donaldson Co (common)		None	K	T	Buy	12/14/17	K		

1. Income Gain Codes: (See Columns B1 and D4)
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2. Value Codes (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
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69. Dow Chemical (common)	A	Dividend			Buy (add'l)	05/24/17	J		
70.					Sold	09/13/17	J	A	
71. Eaton (common)	A	Dividend			Buy	06/05/17	J		
72.					Sold	09/13/17	J		
73. Eli Lilly (common)	A	Dividend	J	T					
74. Exelon Corp	A	Dividend			Sold	09/13/17	J	A	
75. Facebook (common)		None	J	T	Sold (part)	05/11/17	J	A	
76. Ford (common)		None	K	T	Buy	12/14/17	K		
77. FT Pfd Sec & Inc (ETF)		None	K	T	Buy	09/13/17	K		
78.					Buy (add'l)	12/14/17	K		
79. Halliburton Co (common)	A	Dividend			Sold	09/13/17	J		
80. Henry Schein (common)		None			Sold	12/14/17	J	A	
81. Home Depot (common)	A	Dividend	K	T	Sold (part)	02/07/17	J		
82.					Buy (add'l)	12/14/17	K		
83. Honeywell Int'l	A	Dividend	J	T					
84. Ishares Bonds 2022 (ETF)		None	K	T	Buy	12/14/17	K		
85. Johnson & Johnson (common)	A	Dividend			Buy	06/05/17	J		

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86.					Sold	09/13/17	J	A	
87. Lear Corp (common)	A	Dividend			Sold	09/13/17	J	A	
88. Marathon Pere (common)	A	Dividend			Buy	01/19/17	J		
89.					Sold	08/02/17	J	A	
90.									
91. Microsoft Corp (common)	A	Dividend	K	T	Sold (part)	05/11/17	J	A	
92.					Buy (add'l)	12/14/17	K		
93. NXP Semiconductors (common)		None			Sold	03/15/17	J	B	
94. Newell Rubbermaid (common)	A	Dividend			Sold (part)	02/07/17	J	A	
95.					Sold	12/14/17	J	A	
96. Newfield Exploration (common)		None			Sold	09/13/17	J	A	
97. Nextera Energy (common)	A	Dividend	J	T					
98. Nucor Corp (common)	A	Dividend			Buy	05/26/17	J		
99.					Sold	09/13/17	J		
100. Nvidia (common)	A	Dividend	K	T	Buy	03/15/17	J		
101.					Sold (part)	06/12/17	J	A	
102.					Buy (add'l)	12/14/17	J		

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103. Occidental Pete (common)	A	Dividend			Sold	02/14/17	J		
104. Parker Hannifin Corp (common)	A	Dividend			Sold	09/13/17	J	A	
105. Pepsico (common)	A	Dividend	J	T	Sold (part)	02/07/17	J	B	
106. Pioneer Natural Resources (common)	A	Dividend			Sold	09/13/17	J	A	
107. Powershares Financial (ETF)		None	K	T	Buy	12/26/17	K		
108. Raytheon Corp (common)	A	Dividend	J	T					
109.									
110. Salesforce.com (common)		None			Sold (part)	06/05/17	J	A	
111.					Sold	12/14/17	J	B	
112. Select Fin'l Sector SPDR Tr (ETF)	A	Dividend	K	T	Sold (part)	01/13/17	J	A	
113.					Sold (part)	05/11/17	J	B	
114.					Buy (add'l)	12/14/17	J		
115. Select Real Est Sector SPDR Tr (ETF)	A	Dividend			Sold	09/13/17	J	A	
116. Snap-On Inc (common)	A	Dividend			Sold (part)	03/13/17	J	A	
117.					Sold	06/05/17	J	A	
118. Stryker Corp (common)	A	Dividend	J	T					
119. TJX Companies (common)	A	Dividend			Sold	12/14/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4) 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000; J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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

2. Value Codes (See Columns C1 and D3): Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

3. Value Method Codes (See Column C2)

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
120. Vanguard S & P Small Cap (mutuial fd)	A	Dividend	K	T	Buy	12/14/17	K		
121. Vulcan Materials (common)	A	Dividend	J	T					
122. Wabtec Corp (common)	A	Dividend			Sold	05/26/17	J	A	
123. Whirlpool Corp (common)	A	Dividend			Sold	09/13/17	J	A	
124. Zimmer Holdings (common)	A	Dividend			Sold	06/05/17	J	B	
125.									
126. Brokerage #4 (H) Moved to Brokerage #7									
127.									
128. Brokerage #5 (H)									
129. RBC Branch Sweep (money mkt)	A	Dividend			Closed	08/11/17	J		see section VIII
130. UBS Bank USA Dep Acct (money mkt fd)	A	Interest	J	T	Open	08/11/17	J		see section VIII
131. Blackrock Eq Div Tr (ETF)	B	Dividend	K	T	Buy (add'l)	05/18/17	J		
132. Delaware Invts MN Muni Inc (mutual fund)	A	Dividend	K	T	Buy (add'l)	05/18/17	K		
133. MN Hsg Pub Human Svc (Bond)	A	Interest	K	T					
134. Orono MN School Dist (Bond)	A	Dividend	K	T	Buy	02/08/17	K		
135. Verizon Communications (common)	A	Dividend	J	T	Buy	05/18/17	J		
136. Xcel Energy (common)	A	Dividend	K	T	Sold (part)	02/08/17	J	C	

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
137.					Buy (add'l)	05/18/17	J		
138. Brokerage Account #6 Dorsey 401k (H) Closed									
139.									
140. Brokerage Acct #7 (H)									
141. Federated Money Mkt NKA RBC Bk Depositmoney mkt mutual fund)	A	Dividend			Closed	08/11/17	J		see section VIII
142. UBS Bank USA Dep Acct (money mkt fd)	A	Interest	J	T	Open	09/06/17	J		see section VIII
143. Amer Fds Euro Pac Gr (mutual fund)	B	Dividend	K	T					
144. Dodge & Cox Fund Int'l Stock (mutual fund) Class F	C	Dividend	L	T					
145. Dodge & Cox Income (mutual fund) Class I	C	Dividend	M	T	Buy (add'l)	12/08/17	K		
146. Fidelity New Insights (cl i mutual fund)	D	Dividend	M	T					
147. First Trust Pfd Income Fd (ETF)	A	Dividend	K	T	Buy	01/31/17	K		
148. First Trust Exchange Fd (mutual fund)	A	Dividend	K	T					
149. IShares Russell 1000 Gr (ETF)	A	Dividend	L	T					
150. IShares Russell 1000 Value (ETF)	C	Dividend	M	T					
151. IShares S&P Sm Cap 600 (ETF)	B	Dividend	L	T					
152. Mairs & Power Fd Sm Cap Fd (mutual fund)	A	Dividend	K	T					
153. Metropolitan West Total Return Bond (mutual fund)	C	Dividend	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
154. MFS Div Inc (mutual fund)	B	Dividend	L	T					
155. Parnassus Core Equity Fd (mutual fund)	D	Dividend	M	T					
156. T Rowe Price Gr Stk (mutual fund)	E	Dividend	M	T					
157. Vanguard Total Bond Market (ETF)	B	Dividend	L	T					
158. Vanguard Admiral S&P MidCap400 Index (ETF)	A	Dividend	K	T					
159. Vanguard Admiral S&P Sm Cap 600 Index (ETF)	A	Dividend	K	T					
160. American Express Centurion BK	A	Interest			Redeemed	11/14/17	K		
161. Sallie Mae Bk Slt Lake City (C.D.)	A	Interest	K	T					
162. GE Cap Retrail Bk Utah (C.D.)	B	Interest	L	T					
163. GE Cap Retail Bk Draper Utah(C.D.)	B	Interest	L	T					
164. Goldman Sachs Bk USA NY (C.D.)	B	Interest	L	T					
165. AT & T unsecured OID	B	Interest	K	T					
166. AXA Variable Annuity		None	M	T					see section VIII
167.									
168. Brokerage #8 (H)									
169. RBC Branch Sweep nka Bank Deposit Prog(money market program)	A	Interest			Closed	08/11/17	J		see section VIII
170. UBS Bank USA Deposit Acct (money mkt)	A	Interest	L	T	Open	08/11/17	J		see section VIII

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
171. Amazon (common)		None	K	T	Buy	12/05/17	K		
172. Amer Fds Euro Pac Gr (cl f1 mutual fund)	A	Dividend			Merged (with line 173)	02/16/17	L		see section VIII
173. Amer Fds Euro Pac Gr (cl f-2 mutual fund)	A	Dividend	L	T					
174. Brocade Commun Syst (common)	A	Dividend			Distributed	11/20/17	K	D	
175. Dodge & Cox Income Fd (mutual fd)	A	Dividend	K	T	Buy	12/05/17	K		
176.					Buy (add'l)	12/14/17	K		
177.					Buy (add'l)	12/26/17	J		
178. Dunkin Brands (common)		None	K	T	Buy	12/26/17	K		
179. Fidelity New Insights (mutual fund)	D	Dividend	M	T					
180. First Trust Pfd Inc	A	Dividend	K	T	Buy	12/05/17	K		
181.					Buy (add'l)	12/26/17	J		
182. Ford (common)		None	K	T	Buy	12/26/17	K		
183. Fundamental Invs (mutual fund)	D	Dividend	M	T					
184. General Electric (common)	A	Dividend			Buy	05/10/17	J		
185.					Sold	12/26/17	J		
186. Ishares Biotechnology (ETF)	A	Dividend	K	T	Buy (add'l)	12/01/17	K		see section VIII
187. Ishares Russell Mid Cap Gr (ETF)	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)
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
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 (See Columns C1 and D3)
J =$15,000 or less
K =$15,001 - $50,000
L =$50,001 - $100,000
M =$100,001 - $250,000
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
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P4 =More than $50,000,000

3. Value Method Codes (See Column C2)
Q =Appraisal
R =Cost (Real Estate Only)
S =Assessment
T =Cash Market
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Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
188. Ishares MSCI Switz Capped (ETF)		None	K	T	Buy	12/05/17	K		
189. Lord Abbett Sec Tr Value Opp (mutual fund)	A	Dividend			Sold	01/31/17	K		
190. Mairs & Pwr Small Cap Fd (mutual fund)	B	Dividend	L	T					
191. Mairs & Powers Growth Fd (mutual fd)	B	Dividend	K	T	Buy	01/31/17	J		
192. Metropolitan West Total Return Bond (mutual fund)	A	Dividend	L	T	Buy (add'l)	12/05/17	K		
193.					Buy (add'l)	12/14/17	K		
194. MFS Ser Tr XIII AKA Diversified Income(mutual fund)	A	Dividend			Sold (part)	05/10/17	K		
195.					Sold	12/14/17	K	A	
196. MFS Growth (mutual fund)	A	Dividend	K	T					
197. MFS Utilities Fd (mutual fund)	B	Dividend	J	T	Buy	05/10/17	J		
198. Parnassus Mid Cap (mutual fd)		None	K	T	Buy	12/14/17	K		
199. Powershares Fin'l pfd (ETF)		None	K	T	Buy	12/05/17	K		
200.					Buy (add'l)	12/26/17	J		
201. Royal Dutch (ADR)		None	K	T	Buy	12/05/17	K		
202. Seagate Technology (common)	A	Dividend			Buy	05/10/17	J		
203.					Sold	12/26/17	J		
204. Square Inc (common)		None	K	T	Buy	12/14/17	K		

1. Income Gain Codes: (See Columns B1 and D4) 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; 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 (See Columns C1 and D3) J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
205. Tr for Prof Mgrs Snow Cap Small Cap Value (mutual fd)	A	Dividend	J	T					
206. Vanguard Admiral Small Cap Fd (mutual fund)	A	Dividend	K	T	Buy (add'l)	12/05/17	K		
207. Vanguard Admiral Mid Cap 400 Fd (mutual fund)	A	Dividend	K	T	Buy	01/31/17	J		
208.					Buy (add'l)	12/05/17	K		
209. Vanguard Div Appr (ETF)	A	Dividend	K	T	Buy	12/05/17	K		
210. Xcel Energy (common)		None	K	T	Buy	12/05/17	K		
211.									
212.									
213. Brokerage #9 (H) Etrade									
214. ETrade Cash Reserve Account		None			Closed	12/08/17	K		
215. Brocade (common)	A	Dividend			Distributed	11/20/17	N		
216. Twin City Federal Account #1(conservator/ Guardian		None	J	T					See section VIII
217.									
218. Account #10 (H)									
219. RBC Branch Sweep (Money Market Program)	A	Interest			Closed	08/11/17	J		see section VIII
220. UBS Bank USA Deposit Acct (Money Mkt)	A	Interest	L	T	Open	08/11/17	J		see section VIII
221. Ally Bk Midvale Utah (C.D.)	B	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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3. Value Method Codes (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
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VII. INVESTMENTS and TRUSTS – *income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)*

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

A. Description of Assets (including trust assets). Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
222. GE Cap Bk Retail (C.D.)	A	Interest			Redeemed	12/05/17	K		
223. Goldman Sach Bk Retail (C.D.)		None	L	T	Buy	12/08/17	K		
224. American Express Cent Bk (C.D.)	A	Interest	L	T					
225.									
226. Trust #1 (H)									
227. RBC Branch Sweep (Money Market Program)	A	Interest			Closed	08/11/17	J		see section VIII
228. UBS Bank USA Bank Deposist (money mkt)	A	Interest	J	T	Open	01/11/17	J		
229. MFS Ser Tr XIII Diversified Inc (mutual fund)	A	Dividend			Sold	01/18/17	J		
230. Sprott Focus Trust	A	Dividend	J	T	Buy	01/18/17	J		
231.									
232.									
233. American Enterprise Inv Svc (mutual fd)	B	Dividend	K	T					see section VIII
234. Discover Financial Svcs (comon)	A	Dividend	J	T					
235. Honeywell Int'l (common	A	Dividend	J	T					
236. Morgan Stanley (common)	A	Dividend	J	T					
237. Allstate Corp (common)	A	Dividend	J	T					
238. Sears Holding Corp (common)		None	J	T					

1. Income Gain Codes: (See Columns B1 and D4) — 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; 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 (See Columns C1 and D3) — J =$15,000 or less; K =$15,001 - $50,000; L =$50,001 - $100,000; M =$100,001 - $250,000; 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 (See Column C2) — Q =Appraisal; R =Cost (Real Estate Only); S =Assessment; T =Cash Market; U =Book Value; V =Other; W =Estimated

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
239. Sears Canada (common)	A	Dividend	J	T					
240. Lands End (common)		None	J	T	Spinoff (from line 239)				See section VIII
241. Advansix Inc (common)		None	J	T	Spinoff (from line 235)				See section VIII
242. U.S. Bank N.A. Accts (cash & CD's)	A	Dividend	M	T					
243. Twin City Federal Acct (Cash)		None	M	T					
244.									

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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

General Note: Assets held in Accounts 1, 2, 3, 5, 7, 8, 10, and Trust #1 were all transferred from RBC Wealth Management to UBS Financial Services in 2018

Lines 2, 3, 22, 23, 30, 31, 129, 130, 141, 142, 169, 170, 219, 220, 227 and 228 reflect money market funds change from RBC Wealth Management to UBS Financial Services

Line 4, Alps ETF Sale - No gain

Line 12, Goldman Sachs C.D., redeemed - No gain

Line 36, Adobe Systems - No income received during reporting period

Line 37, Alexion Pharma - No gain and no income rec'd during reporting period

Line 39, Alphabet - No income rec'd during reporting period

Line 42, Amazon - No income rec'd during reporting period

Line 48, Biogen - No income rec'd during reporting period

Line 57, Celgene - No income rec'd during reporting period

Line 66, Diamonback Energy - No income rec'd during reporting period

Line 68, Donaldson Company - No income rec'd during reporting period

Line 75, Facebook - No income rec'd during reporting period

Line 76, Ford - No income rec'd during reporting period

Line 79, Halliburton - No gain

Line 80, Henry Schein - No income rec'd during reporting period

Line 93, NXP Semiconductors - No income rec'd during reporting period

Line 96, Newfield Exploration - No income rec'd during reporting period

Line 98, Nucor - No gain

Line 103, Occidental Pete - No gain

Line 110, Salesforce - No income rec'd during reporting period

Line 166, AXA Annuity, This annuity is invested in a model portfolio that has 50% moderate allocation and 50% conservative allocation. I am only able to select the asset allocation model, the annuity company makes all investment decisions without consulting me.

Line 172, American Fd Euro Pac Cl - exchange of share class, no money involved

Line 186, Ishares Biotech - stock dividend paid (additional shares rec'd) - no money involved

Line 189, Lord Abbett - No gain

Line 198, No income rec'd during reporting period

Line 199, No income rec'd during reporting period

Line 202, Seagate Tech - No gain

Line 216, Checking account that does not pay any form of income

Line 229, MFS Ser XIII Div Inc - No gain

Line 233, This was actually Columbia MN Tax Exempt (MF) (Line 13) on current report which had been held at Amer Enter Inv Svc and was transferred to RBC on 12/19/16 (Line 15) on 2016 Report

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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

Line 240, This was a spinoff in 2014 and was inadvertently omitted in prior report

Line 241, This was a spinoff in 2016 and was inadvertently omitted in prior report

Line 243, Checking account that does not pay any form of income

Name of Person Reporting	Date of Report
Constantine, Katherine A.	5/8/2018

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
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