

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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 05/15/2019
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 01/01/2018 to 12/31/2018
7. Chambers or Office Address 772 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.)

POSITION

NAME OF ORGANIZATION/ENTITY

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.)

DATE

PARTIES AND TERMS

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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
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.	Nordstrom	Credit Card	J
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	K	T					
2. Thor Industries Stock - Common	A	Dividend	J	T					
3. Wells Fargo Diversified Capital	D	Dividend	N	T					
4. Nurveen Mid-Cap Select Fund (and Builder Fund Class A)	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			Sold	05/18/18	J	A	
10. - SPDR US Large Stocks-SP500	A	Dividend	K	T					
11. - US Low Volatility Stock Fund	A	Dividend			Sold	05/18/18	J	A	
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	K	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:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	P4 = More than \$50,000,000 S = Assessment W = Estimated	T = Cash Market

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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		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. - 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	K	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. Alerus Checking Account	A	Interest	J	T					
28. Alerus Checking Account	A	Interest	J	T					
29. Morgan Stanley: AMERICAN CAP INC BUILDER A	A	Dividend			Sold	02/28/18	J	A	
30. Morgan Stanley: AMERICAN CAP WRLD GR & INC A	A	Dividend			Sold	02/28/18	J	A	
31. Morgan Stanley: EUROPACIFIC GRW A	A	Dividend			Sold	02/28/18	J	A	
32. Morgan Stanley: GR FD OF AMERICA A	A	Dividend			Sold	02/28/18	J	A	

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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/ **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
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