

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) Rau, Steven E.	2. Court or Organization US District Court - District Court of Minnesota	3. Date of Report 11/06/2017
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 5b. ☒ Amended Report	6. Reporting Period 1/1/2016 to 12/31/2016
7. Chambers or Office Address 316 North Robert St Suite 348 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.		
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. _____

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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Name of Person Reporting

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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. Berkshire Hathaway Inc		None	J	T					
3.									
4. UGMA									
5. Alliance Bernstein Core Opportunities Fund Class C ADGCX		None	J	T					
6. Berkshire Hathaway Inc		None	J	T					
7.									
8. IRA									
9. Berkshire Hathaway		None	K	T	Sold (part)	1/15/16	J	B	
10. Columbia Select Large - UMLGX		None			Sold	3/24/16	K	A	
11. Columbia Fund Ser Tr-CEEZX	A	Dividend	K	T					
12. Wells Fargo Fds Tr-WDHYX	B	Dividend			Sold	03/24/16	L	A	
13. Spider S&P Biotech EFT-XBI	A	Dividend	K	T	Buy (add'l)	01/15/16	J		
14. Thornburg Inv Tr-THDIX	A	Dividend	K	T	Buy	2/21/16	K		
15. Wells Fargo Funds Tr-WFMIX	A	Dividend	K	T					
16. Abbvie, Inc. -ABBV	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
17. EMC Corp Mass-AMC	A	Dividend			Merged (with line 30)	09/07/16	J	B	

1. Income Gain Codes:	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
(See Columns B1 and D4)	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	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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18. Intel Corp-INTC	A	Dividend	K	T					
19. Johnson & Johnson - JNJ	A	Dividend			Sold	09/16/16	K	B	
20. Merck & Co., Inc. - MRK	A	Dividend	J	T					
21. Microsoft Corp - MSFT	A	Dividend	K	T	Sold (part)	01/15/16	J	B	
22. Apple, Inc., -AAPL	A	Dividend	K	T	Buy (add'l)	01/15/16	J		
23. Procter & Gamble Co- PG	A	Dividend	K	T	Sold (part)	01/15/16	J	A	
24. Goldman Sachs Bank SD	A	Interest	K	T					
25. Synchrony Bank CD	A	Interest	K	T					
26. Pfizer Incorporated - PFE	A	Dividend	K	T	Buy	03/24/16	K		
27. Cisco Systems Inc - CSCO	A	Dividend	K	T	Buy	03/24/16	K		
28. Goldman Sachs Bank CD	A	Interest	K	T	Buy	12/07/16	K		
29.									
30. Dell Technologies in Clv-DVMT		None			Sold	09/07/16	J	A	
31.									
32. IRA									
33. Abbvie	A	Dividend	K	T					
34. Alerian MLP ETF	B	Dividend			Sold	03/24/16	J	A	

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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35. Apple, Inc.	A	Dividend	K	T	Buy (add'l)	03/24/16	J		
36. AT&T Inc.	B	Dividend	K	T	Buy (add'l)	03/24/16	J		
37. Berkshire Hathaway		None	K	T					
38. Bristol Meyers Squibb	A	Dividend	J	T					
39. Celgene Corp		None	K	T					
40. Chevron Corporation	A	Dividend			Sold	03/24/16	J	A	
41. Cisco Systems	B	Dividend	J	T	Buy (add'l)	03/24/16	J		
42. Coca-Cola	A	Dividend	J	T					
43. Costco Whsl Corp New	A	Dividend			Sold	03/24/16	K	B	
44. EMC Corp	A	Dividend			Sold	09/7/16	K	C	
45. Emerson Electric Co	A	Dividend			Sold	03/24/16	J	A	
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)	03/24/16	J		
49. Ishares Global Tech - IXN	A	Dividend	K	T	Buy (add'l)	03/24/16	J		
50. Johnson & Johnson	A	Dividend			Sold	09/16/16	J	C	
51. Kimberly-Clark Group	A	Dividend			Sold	03/24/16	K	C	

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52. Merck & Co Inc.	A	Dividend	K	T	Buy (add'l)	03/24/16	J		
53. Microsoft Corp	A	Dividend	K	T					
54. Novartis AG	A	Dividend	J	T					
55. Oppenheimer Dev Markets-ODVYX	A	Dividend	J	T	Sold (part)	03/24/16	J	A	
56. Proctor and Gamble Co	A	Dividend	K	T					
57. Qualcomm, Inc.	A	Dividend	K	T	Buy (add'l)	03/24/16	J		
58. Spdr S&P Biotech	A	Dividend	J	T	Buy (add'l)	03/24/16	J		
59. Pfizer	A	Dividend	K	T	Buy (add'l)	03/24/16	J		
60. Thornburg Inv Tr Developing World Fd-THDIZ	A	Dividend	J	T	Sold (part)	03/24/16	J	A	
61. Total S A Sponsored ADR TOT	A	Dividend			Sold	03/24/16	J	A	
62. United Technologies Corp	A	Dividend	J	T					
63. Wells Fargo Funds - WARDX	A	Dividend			Sold	03/24/16	J	A	
64. Wells Fargo Fds Tr-WDHYX	A	Dividend			Sold	03/24/16	L	A	
65. Wells Fargo Advantage-SCVIX	A	Dividend	J	T	Sold (part)	03/24/16	J	A	
66. WGL Holdings Inc-WGL	A	Dividend			Sold	03/24/16	K	D	
67. Lehman Brothers Holdings ESC	A	Int./Div.	J	T	Sold (part)	03/31/16	J	A	
68. Lehman Brothers Holdings ESC	A	Int./Div.	J	T	Sold (part)	10/16/16	J	A	

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69. GE Capital Retail Bank CD	A	Int./Div.	K	T					
70. Goldman Sachs Bank USA CD	A	Int./Div.	K	T					
71. Dell Technologies - DVMT		None	J	T	Spinoff (from line 44)	09/7/16	J		
72.									
73. Joint Account									
74. Abbvie (spinoff from Abbott)	A	Dividend	K	T					
75. American Electric Power Inc-AEP	A	Dividend			Sold	03/24/16	J	A	
76. AT&T-Inc-T	A	Dividend	J	T					
77. Bristol Myers Squibb-BMY	A	Dividend			Sold	03/24/16	J	D	
78. Welltower, Inc. -HCN	A	Dividend	J	T					
79. Intel Corp-INTC	A	Dividend	J	T					
80. Johnson & Johnson-JNJ	A	Dividend			Sold	09/16/16	K	D	
81. Merck & Co Inc -MRK	A	Dividend	K	T					
82. Novartis AG Spon ADR-NVS	A	Dividend	J	T					
83. Pepsico Inc-PEP	A	Dividend	K	T					
84. PG&E Corporation - PCG	A	Dividend	K	T					
85. United Technologies Corp-UTX	A	Dividend	J	T					

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86. Wells Fargo Company-WFC	D	Dividend	N	T	Buy (add'l)	03/16/16	N		
87. Wells Fargo Company - WFC	D	Dividend	N	T	Sold (part)	12/07/16	K	A	
88.									
89. WGL Holdings Inc-WGL	A	Dividend	J	T					
90. Wells Fargo Money Market Fund	A	Int./Div.	L	T					
91. Wells Fargo Funds Tr-WHYDX	A	Dividend	J	T					
92.									
93. Alliance Bernstein 529 Growth C		None	M	T					
94.									
95.									
96. Wells Fargo Stable Value Fund - in Wells Fargo 401(k) Plan		None	J	T					
97. Wells Fargo Large Cap Value Fund - in Wells Fargo 401(k) Plan		None	J	T					
98. State Street S&P 500 Index Fund - in Wells Fargo 401(k) Plan		None	J	T					
99. Wells Fargo Large Cap Growth Fund - in Wells Fargo 401(k) Plan		None	J	T					
100. State Street S&P Mid Cap Index Fund - in Wells Fargo 401(k) Plan		None	J	T					
101. Wells Fargo Small Cap Fund - in Wells Fargo 401(k) Plan		None	J	T					
102. Wells Fargo International Equity Fund - in Wells Fargo 401(k) Plan		None	J	T					

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103. Wells Fargo Emerging Markets Equity Fund - in Wells Fargo 401(k) Plan		None	J	T					
104. Wells Fargo ESOP Fund - in Wells Fargo 401(k) Plan	D	Int./Div.	O	T					
105.									
106. CD-12 Month Equivalent - in Wells Fargo Deferred Compensation Plan		None	P1	T					
107. Wells Fargo International Equity Fund -in WF Deferred Comp Plan		None	O	T					
108. Russell Small Cap Index Fund-in WF Deferred Comp Plan		None	K	T					
109. State Street S&P 500 Index Fund-in WF Deferred Comp Plan		None	N	T					
110. State Street S&P Mid Cap Index Fund-in WF Deferred Comp Plan		None	L	T					
111. State Street US Bond Index Fund - K-in WF Deferred Comp Plan		None	M	T					
112.									
113. Wells Fargo Cash Balance (Pension) Plan - No control		None	M	T					

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

Line 41 - Was inadvertently omitted in previous reports

Line 43 - Was inadvertently omitted in previous reports

Line 51 - Was inadvertently omitted in previous reports

Lines 56-58 - Were inadvertently omitted in previous reports

Lines 96-104 - Were inadvertently omitted in previous reports

Lines 106-111 - Were inadvertently omitted in previous reports

Line 113 - Was inadvertently omitted in previous reports

The Tiger Building LP Note was sold in 2015 for \$52,985. This was inadvertently omitted in the 2015 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
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