

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) Tunheim, John R.	2. Court or Organization District of Minnesota	3. Date of Report 05/12/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address 15 United States Courthouse 300 South Fourth Street Minneapolis, MN 55415		
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	Norwegian-American Historical Association (nonprofit organization)
2. Director	Federal Bar Association, Minnesota Chapter
3. Advisor, Chair	Advisory Board to the Hubert H. Humphrey School of Public Affairs at the University of Minnesota
4. Regent, Chair	Concordia College, Moorhead, MN
5. Member	National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN
6. Board Member	Board of Advisors, University of Minnesota Law School, Minneapolis, MN
7. Member	Minnesota Law Review Alumni Advisory Board, University of Minnesota Law School
8. Council Member	Govt & Public Sector Lawyers Division, American Bar Association
9. Council Member, Chair	Central and European and Eurasian Law Initiative, American Bar Association
10. Board Member	Rule of Law Initiative Council, American Bar Association
11. Co-Chair	The Fellows of the American Bar Foundation, American Bar Foundation -- Minnesota Chapter
12. Board Member and Chair	The Oslo Center for Peace and Human Rights-U.S. Foundation
13. Member	Board of Trustees for the Oslo Center for Peace and Human Rights - Norway
14. Board Member	The RAND Institute for Civil Justice
15. Board Member	Duke Law Center for Judicial Studies Board

Name of Person Reporting
Tunheim, John R.

Date of Report
05/12/2016

II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

1.
2.
3.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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. 2015	Self employed Public Relations Consultant
2. 2015	Landscape Structures Inc., Delano, MN (Board Member compensation)
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. American Bar Association, Government & Public Sector Lawyers Division	Feb. 6-71	Houston, TX	Council meeting	Transportation, meals and lodging
2. American Bar Association, Rule of Law Initiative	July 31 - Aug. 2	Chicago, IL	Board Meeting	Transportation, meals and lodging
3. American Bar Association, Rule of Law Initiative	Oct. 25-26; Dec. 3-4	Washington, DC	Board Meeting	Transportation, meals and lodging
4. UC Hastings College of Law	Feb. 25-27	San Francisco, CA	Symposium (speaker)	Transportation and lodging
5. Tulane University	April 26-28	New Orleans, LA	Lecture (speaker)	Transportation and lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

6.	RAND Institute for Civil Justice.	March 19-20	Los Angeles, CA	Meeting	Transportation and lodging
7.	Duke Law School	Nov. 8-10	Arlington, VA	MDL CLE (teach)	Transportation, meals and lodging
8.	CEELI Institute	June 4-7	Prague, Czech Republic	Conference (speaker)	Transportation, meals and lodging
9.	International Foundation for Electoral Systems	June 7-8	Prague, Czech Republic	Meeting	Meals and lodging
10.	Wyoming Trial Lawyers Association	June 23-24	Cody, Wyoming	Meeting (speaker)	Transportation, meals and lodging
11.	International Association of Defense Counsel	July 7-10	Colorado Springs, CO	Meeting (speaker)	Transportation and lodging
12.	George Washington University	Oct. 1	Washington, DC	Seminar (speaker)	Transportation
13.	U.S. Court Reporters Association	Oct. 8-11	Park City, UT	Meeting (speaker)	Transportation and lodging
14.	American Bar Association, Rule of Law Initiative	Dec. 5-10	Bahrain, Bahrain	Conference (speaker)	Transportation and meals
15.					

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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. _____

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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. Hiway Federal Credit Union Accounts	A	Interest	J	T					
2. State of Minnesota Deferred Compensation Account	A	Int./Div.	J	T					
3. Honeywell Retirement Benefit Plan	A	Int./Div.	M	T					
4. Wells Fargo Bank Accounts	A	Interest	K	T					
5. Schwab Advisory Cash Reserve		None			Sold	12/22/15	J		
6. Schwab Bank Deposit		None	J	T	Buy	12/22/15	J		
7. American Funds: American Balanced Fund C I F	D	Dividend	M	T	Buy (add'l)	02/20/15	J		
8. American Funds: Washington Mutual Investors	B	Dividend	K	T					
9. American Funds: Investment Co of America C I F	A	Dividend			Buy (add'l)	01/21/15	J		
10.					Sold	08/06/15	K	D	
11. PRIMECAP Odyssey Stock	A	Dividend	K	T	Buy	08/07/15	K		
12. Hartford MidCap C I I	B	Dividend	K	T	Buy (add'l)	01/21/15	J		
13. American Funds: Capital World Growth & Income	B	Dividend	K	T					
14. Royce Total Return		None			Buy (add'l)	01/21/15	J		
15.					Sold	02/05/15	K	C	
16. Vanguard Strategic SmallCap Equity Inv	A	Dividend	K	T	Buy	02/06/15	K		
17. American Funds: New World Fund	A	Dividend	J	T	Buy (add'l)	01/21/15	J		

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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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)

18. BlackRock Global Allocation C1 A	C	Dividend	K	T	Buy (add'l)	01/21/15	J		
19. Schwab Advisor Cash Reserve		None			Sold	12/22/15	J		
20. American Funds: Growth Fund of America	C	Dividend	K	T					
21. American Funds: Investment Co. of America C1 R3	C	Dividend	K	T					
22. American Funds: EuroPacific Growth Fund	A	Dividend	K	T					
23. American Funds: American Balanced CL R3	C	Dividend	K	T					
24. American Funds: Bond Fund of America	A	Dividend	K	T					
25. Vanguard Selected Value	B	Dividend	K	T					
26. American Funds: Bond Fund of America Cl a [edj]	A	Dividend	J	T					
27. American Funds: Capital Incom Bldr Fund A [edj]	A	Dividend	J	T					
28. American Funds: Capital World Grw & Inc Fund A[edj]	A	Dividend	J	T					
29. American Funds: Washington Mutual Invs Fd Cl A [edj]	A	Dividend	J	T					
30. Thrivent Financial for Lutherans: Deferred Income	B	Interest	K	T					
31. farmland, Marshall County, MN		None	K	W					

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	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Tunheim, John R.

Date of Report

05/12/2016

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/ John R. Tunheim**

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