

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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 04/30/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Chief Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
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	CEELI Institute, Prague
2. Advisor	Advisory Board to the Humphrey School of Public Affairs at the University of Minnesota
3. Member	National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN
4. Council Member	Govt & Public Sector Lawyers Division, American Bar Association
5. Special Counsel	Rule of Law Initiative, American Bar Association
6. Member	Oslo Center for Peace and Human Rights - Norway
7. Advisory Board	The Institute for Civil Justice, RAND Corporation
8. Council, Executive Committee Member	Criminal Justice Section, American Bar Association
9. Board Member	World Press Institute
10. Member, President	Amdahl Inn of Court

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.	

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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. January 1	Conservation Reserve Program, Farm Service Agency, USDA	\$9,000.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Self-employed Public Relations Consultant
2. 2019	Landscape Structures, Inc., Delano, MN (Board Member compensation)
3. 2019	McKnight Foundation
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	April 5-7, 2019	Nashville, TN	Criminal Justice Section Meetings	Transportation, meals, and lodging
2.	American Constitution Society	June 5-8, 2019	Washington D.C.	ACS Convention Speaker	Transportation
3.	RAND Institute for Civil Justice	October 24-26, 2019	Washington D.C.	RAND Institute for Civil Justice Meetings	Transportation, meals, and lodging
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.		

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Schwab Bank Sweep	A	Interest	J	T					
2. Schwab Bank Sweep	A	Interest	J	T					
3. American Funds: Growth Fund of America C1 R3	C	Dividend	L	T					
4. American Funds: Investment Co of Amer Fund C1 R3	C	Dividend	K	T					
5. American Funds: EuroPacific Growth Fund C1 R3	A	Dividend	K	T					
6. American Funds: American Balanced Fund C1 R3	D	Dividend	M	T	Buy (add'l)	01/17/19	J		
7.					Buy (add'l)	01/31/19	J		
8.					Buy (add'l)	02/06/19	J		
9.					Buy (add'l)	02/14/19	J		
10.					Buy (add'l)	02/26/19	J		
11.					Buy (add'l)	03/05/19	J		
12.					Buy (add'l)	03/14/19	J		
13.					Buy (add'l)	03/27/19	J		
14.					Buy (add'l)	04/05/19	J		
15.					Buy (add'l)	04/12/19	J		
16.					Buy (add'l)	04/29/19	J		
17.					Buy (add'l)	05/02/19	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

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	05/09/19	J		
19.					Buy (add'l)	05/17/19	J		
20.					Buy (add'l)	06/03/19	J		
21.					Buy (add'l)	06/04/19	J		
22.					Buy (add'l)	06/18/19	J		
23.					Buy (add'l)	07/01/19	J		
24.					Buy (add'l)	07/08/19	J		
25.					Buy (add'l)	07/12/19	J		
26.					Buy (add'l)	07/26/19	J		
27.					Buy (add'l)	08/01/19	J		
28.					Buy (add'l)	08/09/19	J		
29.					Buy (add'l)	08/27/19	J		
30.					Buy (add'l)	09/05/19	J		
31.					Buy (add'l)	09/11/19	J		
32.					Buy (add'l)	09/20/19	J		
33.					Buy (add'l)	10/04/19	J		
34. Fidelity Balanced Fund	C	Dividend	L	T					

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
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

E =\$15,001 - \$50,000

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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.)

☐ 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				
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35. American Funds: Bond Fund of America C1 R3	B	Dividend	L	T					
36. BlackRock Global Allocation Fund C1 Instl		None			Sold	04/26/19	L	F	
37. American Funds: American Balanced Fund C1 F3	D	Dividend	N	T	Sold (part)	09/24/19	J	A	
38. American Funds: New World Fund C1 F2		None			Sold	02/07/19	J		
39. Mairs & Power Balanced	B	Dividend	L	T					
40. iShares Core S&P Smallcap	A	Dividend	K	T					
41. American Funds: American Balanced Fund C1 F3	C	Dividend	L	T	Buy (add'l)	01/28/19	J		
42. American Funds: New World Fund C1 F	A	Dividend	K	T	Buy	02/07/19	J		
43. Vanguard Global Wellington Adm	B	Dividend	L	T	Buy	04/29/19	L		
44. Wells Fargo Bank Accounts	A	Interest	K	T					
45. Hiway Federal Credit Union	A	Interest	J	T					
46. Honeywell Retirement Benefit Plan	A	Int./Div.	M	T					
47. State of Minnesota Deferred Compensation Account	A	Int./Div.	J	T					
48. Farmland, Marshall County, MN	D	Rent	K	W					
49. American Funds: Capital Income Bldr Fund A	D	Dividend	J	T					
50. American Funds: Capital World Grw & Inc. Fund A	C	Dividend	J	T					
51. American Funds: Washington Mutual Invs Fd C1 A	C	Dividend	J	T					

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	

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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52.									

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

III. Non-Investment Income. Although payment is from the Federal Government, I am listing payment received from the Conservation Reserve Program, Farm Service Agency, USDA in this section as well as section VII.

Line 46 has been reported on previous reports. In 2016 I entered into an agreement with the Conservation Reserve Program, Farm Service Agency, USDA, and receive income. The "Type" of income listed does not describe these payments, so I selected "RENT". The CRP payments have been listed in both sections III and VII.

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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/ 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
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