

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) Constantine, Katherine A.	2. Court or Organization Minnesota Bankruptcy Court	3. Date of Report 05/05/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Bankruptcy Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
	5b. ☐ Amended Report	
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
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.)

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

FINANCIAL DISCLOSURE REPORT

Page 2 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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. 2019	Dorsey & Whitney LLP-retirement and pension	\$57,558.96
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.	
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.	National Conference of Bankruptcy Judges	October 30-November 2, 2019	Washington, D.C.	meetings and educational programs	partial lodging
2.	In-Court Seminar	May 29-31, 2019	Tofte, MN	meetings and educational programs	travel, food, lodging
3.					
4.					
5.					

Name of Person Reporting	Date of Report
Constantine, Katherine A.	05/05/2020

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.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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. Brokerage #1 (H)									
2. USB Dep Acct (Money Market)	A	Interest	J	T					
3. At & T (pfd)		None	J	T	Buy	12/27/19	J		See part VIII
4. Blackrock Enhanced Eq Div Tr (ETF)	B	Dividend	K	T	Buy	04/11/19	K		
5. FT-Preferred Secur & Inc (ETF)	A	Dividend			Sold	07/18/19	K		
6. Global X Fd NASDAQ 100 Covered Call (ETF)	A	Dividend			Sold	01/25/19	K		
7. Invesco	A	Dividend	K	T	Sold (part)	07/18/19	K		
8. IShares Broad USD Invt Grd	A	Dividend	K	T	Buy	08/23/19	K		
9. Pimco Energy & Tactical Cr Opport (ETF)	A	Dividend			Buy	01/30/19	K		
10.					Sold	08/23/19	K		
11. Select Sector Spdr Tr Utilities Sector (Index Fd)	A	Dividend	K	T					
12. Southern Co. (common)	A	Dividend			Sold	12/27/19	K	D	
13. Target (common)	A	Dividend	K	T					
14. Xcel Energy (common)	A	Dividend	K	T					
15. Fridley MN GO (Bond)	A	Interest	K	T					
16. MN Hsg Pub Svc Rev (Bond)	A	Interest	K	T					
17. Mpls MN Library GO (Bond)	A	Interest	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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. Mpls MN Spl Sch Dist GO (Bond)	A	Interest	K	T					
19. MN St GO Various Purp GO (Bond)	A	Interest	K	T					
20. MN Hsg Res Rev (Bond)	A	Interest	J	T	Redeemed (part)	12/02/19	J		
21. U S Treasury Note (Bond)	A	Interest			Redeemed	04/15/19	L	A	
22.									
23. Brokerage #2 (H)									
24. UBS RMA Gov't Money Mkt Fd-cash equivalent account	A	Interest	J	T					
25. Invesco Diversified Divs (Mutual Fd)	B	Dividend	K	T	Buy (add'l)	05/28/19	J		
26. (Metropolitan West Ttl Retrn (Mutual Fd)	A	Dividend	K	T					
27. Anoka Cnty MN GO (Bond)	A	Interest	K	T					
28.									
29. Brokerage #3 (H)									
30. UBS USA Deposit (money market)-cash equivalent account	A	Interest	J	T					
31. Adobe Systems (common)		None	K	T					See part VIII
32. Alphabet FKA Google (common)		None	K	T					See part VIII
33. Amazon (common)		None	K	T					See part VIII
34. Apple (common)	A	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

FINANCIAL DISCLOSURE REPORT

Page 6 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
35. AT&T 5.625% (pfd)	B	Dividend	K	T					
36. Broadcom Inc	B	Dividend	K	T					
37. Costco Wholesale (common)	A	Dividend	K	T					
38. Donaldson Co (common)	A	Dividend	K	T	Buy	01/07/19	K		
39. DTE Energy (pfd)	A	Interest	K	T	Buy	02/19/19	K		
40. Dunkin Brands Grp	A	Dividend	K	T	Buy	01/07/19	K		
41. Home Depot (common)	A	Dividend	K	T					
42. Ishares IBonds 2022 (ETF)	A	Dividend	K	T	Sold (part)	05/22/19	J		
43. Ishares Core S&P Small Cap ETF	A	Dividend	K	T	Buy	02/04/19	K		
44.					Buy (add'l)	05/22/19	J		
45. Ishares Natl Muni Bd (ETF)	A	Dividend	K	T	Buy (add'l)	02/04/19	J		
46.					Buy (add'l)	04/09/19	J		
47. Microsoft	A	Dividend	K	T					
48. US Bancorp (pfd)		None			Sold	02/12/19	J	A	See part VIII
49.									
50. Brokerage #4 (H) Moved to Brokerage #7									
51.									

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 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
52. Brokerage #5 (H)									
53. UBS Bank USA Dep Acct (money mkt fd)- cash equivalent account	A	Interest	J	T					
54. Blackrock Eq Div Tr (ETF)	B	Dividend	K	T					
55. Brighthouse Shield (Annuity) - ability only to select asset allocation		None	M	T					See part VIII
56. Duke Energy New (pfd)	A	Interest	K	T	Buy	08/23/19	K		
57. MN Hsg Pub Human Svc (Bond)	A	Interest	K	T					
58. U S Treasury Note (Bond)	A	Interest			Sold	04/30/19	K		
59. Verizon Communications (common)	A	Dividend	K	T					
60. Xcel Energy (common)	A	Dividend	K	T					
61.									
62. Brokerage Acct #7 (H)									
63. UBS Bank USA Dep Acct (money mkt fd) - cash equivalent account	A	Interest	K	T					
64. Amazon (common)		None	K	T	Buy	05/28/19	K		See part VIII
65. Amer Fds Euro Pac Gr (mutual fund)		None			Sold	05/28/19	K	C	See part VIII
66. Apple Inc	A	Dividend	L	T	Buy (add'l)	02/05/19	K		
67. AT &T (common)	B	Dividend	L	T	Buy	02/05/19	K		
68.					Buy (add'l)	04/11/19	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 8 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
69. Conestoga Small Cap Fd (mutual fund)	A	Dividend	K	T	Buy	07/11/19	K		
70. Dodge & Cox Fund Int'l Stock (mutual fund) Class F	D	Dividend	L	T					
71. Dodge & Cox Income (mutual fund) Class I	C	Dividend	M	T					
72. Duke Energy 5.625% (pfd)	A	Interest	K	T	Buy	08/23/19	K		
73. Fidelity Int'l (mutual Fd)	A	Dividend	K	T					
74. Fidelity New Insights (cl i mutual fund)	D	Dividend	M	T					
75. First Trust Pfd Income Fd (ETF)	A	Dividend			Sold	08/23/19	K	A	
76. First Trust Exchange Fd (mutual fund)	A	Dividend	K	T					
77. Global X Fd	A	Dividend			Sold	02/05/19	K		
78. IShares Core S & P MidCap (ETF)	A	Dividend	L	T	Buy (add'l)	04/11/19	K		
79. IShares Russell 1000 Gr (ETF)	A	Dividend	L	T					
80. IShares Russell 1000 Value (ETF)	C	Dividend	M	T					
81. IShares S&P Sm Cap 600 (ETF)	B	Dividend	L	T					
82. Mairs & Power Fd Sm Cap Fd (mutual fund)		None			Sold	07/11/19	K	C	See part VIII
83. Metropolitan West Total Return Bond (mutual fund)	D	Dividend	M	T					
84. Putnam Equity Income Fd (mutual fund)	B	Dividend	L	T	Buy	07/11/19	K		
85.					Buy (add'l)	12/27/19	K		

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 9 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
86. T Rowe Price Gr Stk (mutual fund)	D	Dividend	M	T					
87. The Hartford Midcap Fd (mutual fund)		None			Sold	04/11/19	K		See part VIII
88. Vanguard Total Bond Market (ETF)	B	Dividend	L	T					
89. Vanguard Admiral S&P MidCap400 Index (ETF)	A	Dividend	K	T					
90. Vanguard Admiral S&P Sm Cap 600 Index (ETF)	A	Dividend	K	T					
91. Vanguard IntDiv Appr Index (ETF)	A	Dividend	K	T					
92. Wisdom Tree US MidkCap Div (ETF)	A	Dividend	K	T					See part VIII
93. GE Cap Retrail Bk Utah (C.D.)	B	Interest			Redeemed	11/22/19	K		
94. GE Cap Retail Bk Draper Utah(C.D.)	B	Interest	L	T					
95. Goldman Sachs Bk USA NY (C.D.)	B	Interest	L	T					
96. AT & T unsecured OID (pfd)	B	Interest	K	T					
97. AXA Variable Annuity - ability only to select asset allocation		None	M	T					See part VIII
98.									
99. Brokerage #8 (H)									
100. UBS Bank USA Deposit Acct (money mkt) - cash equivalent account	A	Interest	J	T					
101. Amazon (common)		None	K	T					See part VIII
102. Amer Fds Euro Pac Gr (cl f-2 mutual fund)	B	Dividend	L	T	Distributed (part)	05/30/19	J		See part VIII

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 10 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
103. AT&T 5.625% (pfd)	B	Dividend	K	T	Buy	01/25/19	K		
104. Chevron Corp (common)	A	Dividend	K	T	Buy	08/23/19	K		
105. Consetoga Small Cap Fund (mutual fund)	B	Dividend	L	T	Buy	05/28/19	K		
106. Costco (common)	A	Dividend	K	T	Buy	08/23/19	K		
107. Dodge & Cox Income Fd (mutual fd)	C	Dividend	L	T					
108. Duke Energy New 5.625% (pfd)	A	Interest	K	T	Buy	08/23/19	K		
109. Dunkin Brands (common)	A	Dividend	K	T					
110. Etsy, Inc (common)		None	K	T	Buy	01/25/19	K		See Part VIII
111. Fidelity New Insights (mutual fund)	D	Dividend	M	T	Distributed (part)	05/30/19	J		See Part VIII
112. First Trust Pfd Inc (ETF)	B	Dividend			Sold	08/23/19	K		
113. Ford (common)	A	Dividend			Sold	06/05/19	K		
114. Fundamental Invs (mutual fund)	D	Dividend	L	T	Sold (part)	01/25/19	J	C	
115.					Distributed (part)	05/30/19	J		See part VIII
116. Ishares Biotechnology (ETF)	A	Dividend	K	T	Sold (part)	08/23/19	J	A	
117. Ishares Russell Mid Cap Gr (ETF)	A	Dividend	K	T	Distributed (part)	05/30/19	J		See part VIII
118. Ishares MSCI Switz Capped (ETF)	A	Dividend	K	T					
119. Invesco Fin'l Pfd (ETF)	B	Dividend	K	T					

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 11 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
120. Mairs & Pwr Small Cap Fd (mutual fund)	C	Dividend			Sold	05/28/19	L	C	
121. Mairs & Powers Growth Fd (mutual fd)	C	Dividend			Sold	05/28/19	K		
122. Metropolitan West Total Return Bond (mutual fund)	C	Dividend	L	T					
123. MFS Growth (mutual fund)	B	Dividend	K	T					
124. Parnassus Mid Cap (mutual fd)	B	Dividend	K	T	Sold (part)	01/25/19	J		
125. Polen Growth Fd (mutual fund)	A	Dividend	L	T	Buy	05/28/19	K		
126. Royal Dutch (ADR)	A	Dividend			Sold	08/23/19	K		
127. Square Inc (common)		None	K	T					See part VIII
128. Vanguard Admiral Small Cap Fd (mutual fund)	A	Dividend	K	T	Distributed (part)	05/30/19	J		See part VIII
129. Vanguard Admiral Mid Cap 400 Fd (mutual fund)	A	Dividend	K	T					
130. Vanguard Div Appr (ETF)	A	Dividend	K	T					
131. Xcel Energy (common)	B	Dividend	L	T					
132.									
133.									
134. Brokerage Account #10 (H)									
135. UBS Bank USA Deposit Acct (Money Mkt) - cash equivalent account	A	Interest	K	T					
136. Ally Bank Utah (C.D.)	A	Int./Div.	K	T	Buy	04/11/19	L		

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 12 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
137.					Redeemed (part)	07/18/19	K		
138. AT&T (pfd)	A	Dividend	K	T	Buy	04/24/19	K		
139. Goldman Sach Bk Retail (C.D.)	A	Interest			Redeemed	06/20/19	K		
140. Southern Company 6.25% (pfd)	A	Dividend			Buy	04/24/19	K		
141.					Sold	12/27/19	K		
142. Suntrust Bank Atlanta GA (C.D.)		None	K	T	Buy	08/23/19	K		See part VIII
143. TBK Bank SSB TX (C.D.)		None	L	T	Buy	07/22/19	K		See part VIII
144. US Treas Note 1.5% (Treas)	A	Interest			Redeemed	02/28/19	K		
145. U S Treas Note 3.125% (Treas)	A	Interest			Redeemed	05/15/19	K	A	
146. U S Treas Note .875% (Treas)	A	Interest			Buy	01/25/19	L		
147.					Redeemed	04/15/19	L	A	
148.									
149. Brokerage Account #11 (H)									
150. UBS Bank USA Bank Deposit (money market) - cash equivalent account	A	Dividend	J	T	Open	05/30/19	J		See part VIII
151. Amer Fd Euro Pacific Gr Fd (mutual fund)_=	A	Dividend	J	T	Open	05/30/19	J		See part VIII
152. Fundamental Investors (mutual fd)	A	Dividend	J	T	Open	05/30/19	J		See part VIII
153. Fidelity New Insights (mutual fd)	A	Dividend	J	T	Open	05/30/19	J		See part VIII

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

FINANCIAL DISCLOSURE REPORT

Page 13 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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)
154. Ishares Mid Cap Gr (ETF)	A	Dividend	J	T	Open	05/30/19	J		See part VIII
155. Vanguard S&P Sm Cap 600 (ETF)	A	Dividend	J	T	Open	05/30/19	J		See part VIII
156.									
157.									
158.									
159. Trust #1 (H)									
160. UBS Bank USA Bank Deposist (money mkt) - cash equivalent account	A	Interest	J	T					
161. Blackrock Enhanced Eq Div Tr (ETF)	A	Dividend	J	T					
162.									
163. Twin City Federal Account #1(conservator/ Guardian		None	J	T					
164.									
165. Computershare Holdings (H)									
166. Discover Financial Svcs (comon)	A	Dividend	J	T					
167. Sears Holding Corp (common)		None	J	T					
168. Sears Canada (common)		None	J	T					
169. Lands End (common)		None	J	T					
170. Advansix Inc (common)		None	J	T					

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	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	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.)

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)
171.									
172. Shareowner Online Holdings (H)									
173. Honeywell Int'l (common	A	Dividend	J	T					
174. Allstate Corp (common)	A	Dividend	K	T					
175. Resideo Tech (common)		None	J	T					
176. Garrett Motion Inc (common)		None	J	T					
177.									
178. Broadridge (H)									
179. Morgan Stanley (common)	A	Dividend	J	T					
180.									
181. U.S. Bank N.A. Accts (cash & CD's)	A	Interest	M	T					
182.									
183. Twin City Federal Acct (Cash)		None	K	T					
184.									
185.									

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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

Line 3, At& T pfd - No income rec'd during reporting period

Line 31, Adobe Systems - No income received during reporting period

Line 32, Alphabet - No income rec'd during reporting period

Line 33, Amazon - No income rec'd during reporting period

Line 48, US Bancorp pfd - No income rec'd during reporting period

Line 55, Brighthouse Shield Annuity - This annuity is invested in a model portfolio that is 34% S&P 500 index, 33% MSCI EAFE index and 33% Russell 2000 index. I am only able to select these asset allocation indexes at the time of purchase.

Line 64, Amazon - No income rec'd during reporting period

Line 65, Amer Fd Euro Pacific Gr Fd - No income rec'd during reporting period

Line 82, Mairs and Powers - no income rec'd during reporting period

Line 87, Hartford Fund - no income rec'd during reporting period

Line 92, Wisdom Tree ETF - reported income as a distribution in previous reporting period, should be reported as dividends

Line 97, 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 101, Amazon - No income rec'd during reporting period

Line 102, Amer Fds Euro Pacific Gr Fd - Some shares were moved to Account #11

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

Line #111, Fidelity New Insights - Some shares were moved to Account #11

Line #115, Fundamental Investors Fd - Some shares were moved to Account #11

Line 117, Ishares Russell Mid Cap ETF - Some shares were moved to Account #11

Line 127, Square - No income rec'd during reporting period

Line 128, Vanguard S&P Small Cap 600 ETF - Some shares were moved to Account #11

Line 142, Suntrust Bk Atlanta GA C.D. - No Income received during reporting period

Line 143, TBK Bank SSB TX C.D.- No income receive during reporting period

.

Lines 151 - 156 Some securities were transferred from Account #8 to Account #11

FINANCIAL DISCLOSURE REPORT

Page 16 of 17

Name of Person Reporting Constantine, Katherine A.	Date of Report 05/05/2020
--	---

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 17

Name of Person Reporting

Constantine, Katherine A.

Date of Report

05/05/2020

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
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544