

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Kennedy, Heather L.	2. Court or Organization District Court for the Northern Mariana Islands	3. Date of Report 05/09/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Clerk of Court/Part-time Magistrate Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 123 Kopa di Oru Street P.O. Box 500687 Saipan, MP 96950		
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.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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.)*

DATE

SOURCE AND TYPE

INCOME
(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.)*

DATE

SOURCE AND TYPE

1. 2017

Office of the Public Defender, Northern Mariana Islands - Salary

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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. Bank of Hawaii accounts	A	Int./Div.	L	T					
2. -American Funds VCSP/College America American Balance Fund 529A	C	Int./Div.	L	T					
3. State of Missouri 401(a)/457 plan									
4. -Federated U.S. Govt. Securities 2-5 yr fund	A	Int./Div.	J	T					
5. -Missouri 2020 fund	B	Int./Div.	J	T					
6. -American Century Equity Inc. fund	B	Int./Div.	K	T					
7. -American Century Ultra fund	C	Int./Div.	K	T					
8. -Goldman Sachs Mid Cap Value	B	Int./Div.	K	T					
9. -Neuberger Berman Genesis Trust	B	Int./Div.	J	T					
10. -T Rowe Price Intl stock fund	C	Int./Div.	J	T					
11. USAA 529 College savings plan - Age- Based Option 9-11: Moderate Port.	C	Int./Div.	L	T					
12. Nationwide Annuity contract									
13. -FIDVIP Hi Income initial	A	Int./Div.	J	T					
14. -JNSASP FRTYSVC	C	Int./Div.	J	T					
15. -NW AMFDS NVIT GLBL GR II	C	Int./Div.	K	T					
16. -NW AMFDS NVIT GR II	C	Int./Div.	J	T					
17. -NW NVIT LG CAP GR I	C	Int./Div.	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 M = \$100,001 - \$250,000
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 \$5,000,000	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 5 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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. -NW NVIT MULT MGR SM CO I	D	Int./Div.	L	T					
19. -NW NVIT REALEST I	B	Int./Div.	K	T					
20. -VANECK VIP GL BHRD ASST INITIAL	A	Int./Div.	J	T					
21. -WR IVY VIP ASST STRAT	B	Int./Div.	J	T					
22. Calvert Equity Portfolio A	A	Int./Div.	J	T					
23. Calvert Global Energy Solutions Fund A	A	Int./Div.	J	T					
24. Calvert Global Water Fund A	A	Int./Div.	J	T					
25. NMI Public Employee DC Plan									
26. -BlackRock Health Sciences Opps Instl	A	Int./Div.	J	T					
27. -BlackRock Inflation Protected Bond Ins	A	Int./Div.	J	T					
28. -DFA US Small Cap Value I	B	Int./Div.	J	T					
29. -Eagle Mid Cap Growth R6	A	Int./Div.	J	T					
30. -Fidelity MM Fds Money Market I	A	Int./Div.	J	T					
31. -Fidelity Select Software & IT Svcs	A	Int./Div.	J	T					
32. -Goldman Sachs Emerging Mkt Debt	A	Int./Div.	J	T					
33. -Harbor Capital Appreciation Instl	B	Int./Div.	J	T					
34. -Neuberger Berman High Income Bond	A	Int./Div.	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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. -Templeton Global Bond Adv	A	Int./Div.	J	T					
36. -Virtus Emerging Markets Opportunities	A	Int./Div.	J	T					
37. -iShares Gold Trust	B	Int./Div.	J	T					
38. USAA Investment Management Account									
39. -USAA Government Securities Fund	A	Int./Div.	J	T					
40. -USAA Precious Metals and Minerals Fund	A	Int./Div.	J	T					
41. Vanguard Life Strategy Moderate Growth Fund Roth IRA	C	Int./Div.	M	T					
42. Vanguard Target Retirement 2025 - Traditional IRA	C	Int./Div.	M	T					
43. Vanguard Convertible Securities Fund - Roth IRA	B	Int./Div.	K	T					
44. Vanguard Wellesley Income Fund Inv - Roth IRA	A	Int./Div.			Distributed	08/16/17	L	B	
45. Vanguard Wellington Fund Admiral - Roth IRA	D	Int./Div.	M	T					
46. Vanguard Wellesley Income Fund Adm - Roth IRA	B	Int./Div.	L	T	Spinoff (from line 44)	08/16/17	L		
47. Vanguard Investment Account									
48. -Balanced Index Fund	A	Int./Div.	J	T					
49. -Dividend Growth Fund	A	Int./Div.	J	T					
50. -Energy Fund Investor	A	Int./Div.	J	T					
51. -Equity Income Fund	A	Int./Div.	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	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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)

52. -Explorer Fund Investor	A	Int./Div.	J	T					
53. -GNMA Fund Investor	A	Int./Div.	J	T					
54. -Health Care Fund	A	Int./Div.	J	T					
55. -Intermediate Term Treasury	A	Int./Div.	J	T					
56. -International Growth	A	Int./Div.	J	T					
57. -Long Term Invest - GR	A	Int./Div.	J	T					
58. -Long-Term Treasury	A	Int./Div.	J	T					
59. -REIT Index Fund Adm	A	Int./Div.	J	T					
60. -Small-Cap Growth Index	A	Int./Div.	J	T					
61. -Total Bond Market Index	A	Int./Div.	J	T					
62. -Total Intl Stock Ix	A	Int./Div.	J	T					
63. -Putnam Multi Cap Growth Fund (IRA)	A	Int./Div.	J	T					
64. -Putnam Multi Cap Growth Fund (Roth IRA)	B	Int./Div.	K	T					
65. North Carolina Credit Union	A	Int./Div.	J	T					
66. USAA Certificate of Deposit	A	Int./Div.	J	T					
67. USAA Savings Account	A	Int./Div.	K	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 \$5,000,000	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

Kennedy, Heather L.

Date of Report

05/09/2018

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

Part VII, column A, line 41 in 2016 - This fund was sold in 2016 and therefore has been removed in the 2017 report. This changed the line numbers for lines 42 to 46 in the 2016 report, which are now reported as lines 41 to 45.

Part VII, column A, line 46 - This is a new investment for 2017. The balance on line 44 in this report was transferred to this new fund in August 2017.

Part VII, column A, line 3 - This fund was reported in 2016 as State of Missouri 401(a) plan. The balance is actually under two plans - a 401(a) plan and a 457 plan. The name was therefore changed to State of Missouri 401(a)/457 plan.

Part VII lines 3,12,25,38 and 47 are header accounts.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Kennedy, Heather L.

Date of Report

05/09/2018

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/ **Heather L. Kennedy**

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