

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) Thorson, Becky R.	2. Court or Organization United States District Court, District of Minnesota	3. Date of Report 10/09/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US Magistrate Judge, Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 346 Warren E Burger Federal Building and US Courthouse 316 N Robert Street, Suite 646 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.	Director	Federal Bar Association, Minnesota Chapter
2.	Board of Trustees	Mitchell Hamline School of Law
3.	Board of Directors	Infinity Project
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.	2016	Robins Kaplan, LLP Defined Benefit Plan, former law firm, no control
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.)*

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. 2016	Dividends
2. 2016	salary
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. Circuit Judicial Conference	05/02/16-05-05//16	Rogers,AK	8th Circuit Judicial Conference	Transportation, meals, hotel
2. Administrative Meeting	05/11/16-05/13/16	Brainerd, MN	In-Court Bench Meeting and Seminar	Transportation, meals, hotel
3. Seminar with Government Entity, US Patent & Trademark Office	07/10/16-07/18/16	County of Georgia	Provide Education to Local Judges	Transportation, meals, hotel
4. Seminar, meetings with Government Entity, US Patent & Trademark Office	09/18/16-09/23/16	Kazakhstan	Provide Education to Local Judges	Transportation, meals, hotel
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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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. Wells Fargo Bank, [REDACTED] common	C	Dividend	L	T					
2. Wells Fargo Bank, [REDACTED] common	C	Dividend	L	T					
3. Wells Fargo Bank, Accounts	A	Interest	M	T					
4. National Financial Services LLC, [REDACTED] (Fidelity)	E	Dividend	O	T					
5. National Financial Services LLC, [REDACTED] Option Plan (Fidelity)	A	Distribution	O	T	Sold (part)	03/14/16	M		[REDACTED]
6. National Financial Services LLC, [REDACTED] Option Plan (Fidelity)	A	Distribution	O	T	Sold (part)	07/20/16	L		[REDACTED]
7. Option Plan National Financial Services LLC, [REDACTED] (Fidelity)	A	Dividend	J	T					
8. National Financial Services LLC, [REDACTED] [REDACTED] (Fidelity)		None	K	T					
9. US Bank, Accounts	A	Interest	L	T					
10. Robins Kaplan LLP Supplemental Retirement Plan Cash Surrender Value	D	Int./Div.	M	T					
11. [REDACTED] Retirement Account: (H1) (H)									
12. State Street S&P 500 Index Fund: S&P Index	D	Dividend			Sold	07/15/16	N	D	S&P 500 Stock Index Fund
13. State Street S&P 500 Index Fund: S&P Index	B	Dividend	N	T	Buy (add'l)	04/20/16	N		S&P 500 Stock Index Fund
14. State Street S&P 500 Index Fund: S&P Index			M	T	Buy (add'l)	10/05/16	M		S&P 500 Stock Index Fund
15. State Street S&P 500 Index Fund: S&P Index	A	Dividend	M	T	Buy (add'l)	06/10/16	N		S&P 500 Stock Index Fund
16. State Street Russell Large Cap Growth Index Fund: Large Cap Growth		None			Sold (part)	04/15/16	O		Growth Stock Fund
17. State Street Russell Large Cap Growth Index Fund: Large Cap Growth		None			Sold (part)	06/15/16	K		Growth Stock Fund

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,001 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 = \$250,000.01 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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18.	State Street Russell Large Cap Growth Index Fund: Large Cap Growth	B	Dividend			Sold	07/25/16	L		Growth Stock Fund
19.	Harbor International Fund: International Large Cap Growth	B	Dividend			Sold	01/15/16	M		International Stock
20.	State Street Russell Large Cap Value Index Fund: Large Cap Value	C	Dividend	M	T	Buy	09/15/16	M		Value Stock
21.	Stock Fund	E	Dividend	M	T					
22.	LifePath Retirement	D	Dividend	O	T	Buy	04/15/16	O		Growth Stock Index Fund
23.										

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

Section VII: Becky Thorson's retirement holdings consist of the Robins Kaplan LLP Supplemental Retirement Plan and the Robins Kaplan LLP Defined Benefit Pension Plan (See Section II). The Supplemental Plan as of December 31, 2016 is valued at \$153,268. This plan was funded by Robins Kaplan LLP. The Becky Thorson Supplemental Retirement Plan Trust (a grantor trust) holds a Variable Universal Life Policy from the Minnesota Life Company. She has no control over this trust. The Cash Surrender Value of the policy funds the Supplemental Retirement Plan.

Section VII: National Financial Services (Fidelity) holds the [REDACTED] Option Plan. Theses shares when excercised are reportable through W2 earnings as Non-Qualified Stock Options (NSO) earnings.

Section VII Line 21 [REDACTED] Stock Fund, This Stock Fund was line 30 of Section VII reported on 6/2/2015 listed as Exempt. It was not listed on the 12/31/2015 report, in error. As of 1/1/2016, the [REDACTED] Stock value was \$119,333 as of 12/31/2016, its value was \$141,244.

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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/ **Becky R. Thorson**

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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