

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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 1/20/2015
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 01/01/2013 to 10/28/2014
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.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Board Member, Secretary (resigned August 2012)	Northern Mariana Islands Triathlon Federation (nonprofit organization)
2. Board Member, Secretary (resigned April 2013)	Whispering Palms School (nonprofit organization)
3. Executive Director and General Counsel (resigned April 2013)	Law Revision Commission - CNMI Judiciary (government entity)
4. Heather L. Kennedy, Sole Proprietor	Closed March 2013
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.	
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. 2012	Law Revision Commission - Northern Mariana Islands - Salary	\$61,893.00
2. 2013	Law Revision Commission - Northern Mariana Islands - Salary	\$21,940.00
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. 2013	Office of the Public Defender, Northern Mariana Islands - Salary
2. 2012	Office of the Public Defender, Northern Mariana Islands - 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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
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.)*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. Bank of Hawaii accounts	A	Int./Div.	L	T					
2. Missouri State Employee Credit Union	A	Int./Div.	J	T					
3. American Funds VCSP/CollegeAmerica - moderate risk	D	Int./Div.	L	T					
4. State of Missouri 401(a) plan									
5. -Federated U.S. Govt. Securities 2-5 yr fund	A	Int./Div.	J	T					
6. -Missouri 2020 fund	A	Int./Div.	J	T					
7. -American Century Equity Inc. fund	A	Int./Div.	J	T					
8. -American Century Ultra fund	A	Int./Div.	J	T					
9. -Goldman Sachs Mid Cap Value	A	Int./Div.	J	T					
10. -Neuberger Berman Genesis Trust	A	Int./Div.	J	T					
11. -T Rowe Price Intl Stock fund	A	Int./Div.	J	T					
12. USAA 529 College Savings Plan - moderate risk	B	Int./Div.	K	T					
13. Nationwide Annuity contract									
14. -FIDVIP Hi Income Initial	A	Int./Div.	J	T					
15. -JNSASP FRTSVC	A	Int./Div.	J	T					
16. -NW AMFDS NVIT GLBL GR II	A	Int./Div.	J	T					
17. -NW AMFDS NVIT GR II	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 = \$250,000.01 - \$500,000.00	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	

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	(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 LGCAP GR I	A	Int./Div.	J	T					
19. -NW NVIT MUTL MGR SM CO I	A	Int./Div.	J	T					
20. -NW NVIT REALEST I	A	Int./Div.	J	T					
21. -VANECKVIPGLBHRDASSTINITIAL	A	Int./Div.	J	T					
22. -WR IVY VIP ASST STRAT	A	Int./Div.	J	T					
23. Calvert Equity Portfolio A	A	Int./Div.	J	T					
24. Calvert Global Alternative Energy Fund A	A	Int./Div.	J	T					
25. Calvert Global Water Fund a	A	Int./Div.	J	T					
26. NMI Public Employee DC Plan									
27. -BlackRock Health Sciences Opps Instl	A	Int./Div.	J	T					
28. -BlackRock Inflation Protected Bond Ins	A	Int./Div.	J	T					
29. -DFA US Small Cap I	A	Int./Div.	J	T					
30. -Eagle Mid Cap Growth R6	A	Int./Div.	J	T					
31. -Fidelity Retirement Money Market	A	Int./Div.	J	T					
32. -Fidelity Select Software & Comp Port	A	Int./Div.	J	T					
33. -Harbor Capital Appreciation Instl	A	Int./Div.	J	T					
34. -Neuberger Berman High Income Bond	A	Int./Div.	J	T					

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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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35. -Stone Harbor Emerging Mkts Debt Instl	A	Int./Div.	J	T					
36. -Templeton Global Bond Adv	A	Int./Div.	J	T					
37. -Wells Fargo Advantage Emerging Mkts	A	Int./Div.	J	T					
38. -iShares Gold Trust	A	Int./Div.	J	T					
39. USAA Investment Management account									
40. -USAA Extended Market Index Fund	A	Int./Div.	J	T					
41. -USAA Government Securities Fund	A	Int./Div.	J	T					
42. -USAA Income Fund	A	Int./Div.	J	T					
43. -USAA International Fund	A	Int./Div.	J	T					
44. -USAA Precious Metals and Minerals Fund	A	Int./Div.	J	T					
45. -USAA Science & Technology Fund	A	Int./Div.	J	T					
46. -USAA Tax Exempt Short-Term Fund	A	Int./Div.	J	T					
47. -USAA World Growth Fund	A	Int./Div.	J	T					
48. Vanguard Life Strategy Moderate Growth Fund Roth IRA	B	Int./Div.	L	T	Buy (add'l)	11/08/13	K		
49. Vanguard Target Retirement 2025 - traditional IRA	B	Int./Div.	L	T					
50. Vanguard Convertible Securities fund - Roth IRA	A	Int./Div.	K	T	Spinoff (from line 55)	02/20/14	K		
51. Vanguard Convertible Securities fund - Roth IRA	A	Int./Div.	K	T	Buy (add'l)	06/16/14	J		

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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	
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52. Vanguard Wellesley Income Fund Inv - Roth IRA	A	Int./Div.	K	T	Spinoff (from line 55)	02/20/14	K		
53. Vanguard Wellesley Income Fund Inv - Roth IRA	A	Int./Div.	K	T	Buy (add'l)	10/17/14	J		
54. Vanguard Wellesley Income Fund inv - Roth IRA	A	Int./Div.	K	T	Buy (add'l)	02/20/14	J		
55. Vanguard Wellington Fund Admiral - Roth IRA	D	Int./Div.	L	T	Buy (add'l)	12/12/13	J		
56. Vanguard Wellington Fund Admiral - Roth IRA	D	Int./Div.	L	T	Buy (add'l)	01/21/14	L		
57. Vanguard Account									
58. -Balanced Index Fund	A	Int./Div.	J	T					
59. -Dividend Growth Fund	A	Int./Div.	J	T	Sold (part)	05/24/13	J	B	
60. -Emerging Mkts Stk Index	A	Int./Div.	J	T	Sold (part)	05/24/13	J	A	
61. -Energy Fund Investor	A	Int./Div.	J	T					
62. -Equity Income Fund	A	Int./Div.	K	T					
63. -Explorer Fund Investor	A	Int./Div.	J	T					
64. -GNMA Fund Investor	A	Int./Div.	J	T					
65. -Health Care Fund	A	Int./Div.	J	T					
66. -Inflation-Protect Sec	A	Int./Div.	J	T					
67. -Inter-Term Treasury	A	Int./Div.	J	T					
68. -International Growth	A	Int./Div.	J	T					

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69. -International Value	A	Int./Div.	J	T					
70. -Long-Term Invest-GR	A	Int./Div.	J	T					
71. -Long-Term Treasury	A	Int./Div.	J	T					
72. -Mid-Cap Growth Index	A	Int./Div.	J	T					
73. -REIT Index Fund Inv	A	Int./Div.	J	T	Buy (add'l)	05/24/13	J		
74. -REIT Index Fund Adm	A	Int./Div.	J	T	Spinoff (from line 73)	06/06/13	J		
75. -Small-Cap Growth Index	A	Int./Div.	J	T					
76. -Total Bond Market Index	A	Int./Div.	J	T					
77. -Total Intl Stock Ix	A	Int./Div.	J	T					
78. -Wellesley Income Fund	A	Int./Div.	J	T					
79. Putnam Multi Cap Growth Fund (IRA)	A	Int./Div.	J	T					
80. Putman Multi Cap Growth Fund (Roth IRA)	A	Int./Div.	K	T					
81. North Carolina Credit Union	A	Int./Div.	J	T					
82. NMIRF DC plan									
83. -American Funds Growth Fund R5	B	Int./Div.			Closed	06/30/13	K		
84. -Black Rock Equity Dividend Instl	A	Int./Div.			Closed	06/30/13	J		
85. -Brown Capital Mgmt Small Co Instl	B	Int./Div.			Closed	06/30/13	J		

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86. -Dodge & Cox Income	A	Int./Div.			Closed	06/30/13	J		
87. -Fidelity Retirement Money Mkt	A	Int./Div.			Closed	06/30/13	J		
88. -MFS International Value I	A	Int./Div.			Closed	06/30/13	K		
89. -Oppenheimer Developing Mkts Y	A	Int./Div.			Closed	06/30/13	J		
90. -Perkins Small Cap Value T	B	Int./Div.			Closed	06/30/13	J		
91. -Vanguard GNMA Adm	A	Int./Div.			Closed	06/30/13	J		
92. -ishares Gold Trust	A	Int./Div.			Closed	06/30/13	J		

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

Part VII lines 4, 13, 26, 39, 57 and 82 are header accounts. The details of the assets in these header accounts follow the header line.

Part VII lines 82 to 92 - this was a defined contribution account administered by the Northern Mariana Islands Retirement Fund. This account was closed. Part of the balance was deposited into a Vanguard account, and part was deposited to the filer's TSP.

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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/ **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