

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) Tunheim, John R.	2. Court or Organization District of Minnesota	3. Date of Report 05/15/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	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 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	Norwegian-American Historical Association (nonprofit organization)
2. Director	Federal Bar Association, Minnesota Chapter
3. Advisor, Chair	Advisory Board to the Hubert H. Humphrey School of Public Affairs at the University of Minnesota
4. Regent, Chair	Concordia College, Moorhead, MN
5. Member	National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN
6. Board Member	Board of Advisors, University of Minnesota Law School, Minneapolis, MN
7. Member	Minnesota Law Review Alumni Advisory Board, University of Minnesota Law School
8. Council Member	Govt & Public Sector Lawyers Division, American Bar Association
9. Council Member, Chair	Central and European and Eurasian Law Initiative, American Bar Association
10. Board Member	Rule of Law Initiative Council, American Bar Association
11. Co-Chair	The Fellows of the American Bar Foundation, American Bar Foundation -- Minnesota Chapter
12. Board Member and Chair	The Oslo Center for Peace and Human Rights-U.S. Foundation
13. Member	Board of Trustees for the Oslo Center for Peace and Human Rights - Norway
14. Board Member	The RAND Institute for Civil Justice
15. Board Member	Duke Law Center for Judicial Studies Board

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II. AGREEMENTS. *(Reporting individual only; see pp. 14-16 of filing instructions.)*

☒ NONE *(No reportable agreements.)*

DATE

PARTIES AND TERMS

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. 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. 2016	Self employed Public Relations Consultant
2. 2016	Landscape Structures Inc., Delano, MN (Board Member compensation)
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. American Bar Association, Government & Public Sector Lawyers Division	Feb. 5-7	San Diego, CA	Council meeting	Transportation, meals and lodging
2. American Bar Association, Rule of Law Initiative	Oct. 29 - Nov 1; Dec. 12-14	Washington, Dc	Board Meeting	Transportation, meals and lodging
3. Tulane University	April 25-27	New Orleans, LA	Lecture (speaker)	Transportation and lodging
4. CEELI Institute	June 13-19	Prague, Czech Republic	Conference (speaker)	Transportation, meals and lodging
5. International Foundation for Electoral Systems	June 3-8	Mandalay, Myanmar	Conference (speaker)	Transportation, meals and lodging

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6.	Earl E. O'Connor Inn of Court	Mar. 9-10	Kansas City, KS	Meeting (speaker)	Transportation, meals and lodging
7.	American Bar Foundation	May 30 - June 1	Rome, Italy	Forum (speaker)	Transportation, meals and lodging
8.	World Bank	Nov. 17-18	Washington, DC	Conference (speaker)	Transportation, meals and lodging
9.	Hawaii Federal Bar Association	Nov. 17-18	Washington, DC	Conference (speaker)	Transportation, meals and lodging
10.					

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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. Hiway Federal Credit Union Accounts	A	Interest	J	T					
2. State of Minnesota Deferred Compensation Account	A	Int./Div.	J	T					
3. Honeywell Retirement Benefit Plan	A	Int./Div.	M	T					
4. Wells Fargo Bank Accounts	A	Interest	K	T					
5. Schwab Bank Deposit	A	Interest	J	T					
6. American Funds: American Balanced Fund C I F	D	Dividend	M	T	Buy (add'l)	01/22/16	J		
7.					Sold (part)	10/18/16	J	A	
8. American Funds: Washington Mutual Investors		None			Buy (add'l)	01/22/16	J		
9.					Sold	03/17/16	K	D	
10. PRIMECAP Odyssey Stock		None			Sold	03/17/16	K		
11. Hartford MidCap C I I		None			Sold	03/17/16	K		
12. American Funds: Capital World Growth & Income	A	Dividend			Buy (add'l)	01/22/16	J		
13.					Sold	03/17/16	L	D	
14. Vanguard Selected Value Fund Inv		None			Buy (add'l)	01/22/16	J		
15.					Sold	03/17/16	K	B	
16. Vanguard Strategic SmallCap Equity Inv	A	Dividend	K	T	Sold (part)	03/17/16	J		
17. American Funds: New World Fund	A	Dividend	J	T	Buy (add'l)	01/22/16	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 \$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. BlackRock Global Allocation C1 A	B	Dividend	L	T	Buy (add'l)	01/22/16	J		
19.					Buy (add'l)	03/17/16	K		
20.					Buy (add'l)	03/21/16	J		
21. Schwab Bank Deposit (IRA)	A	Interest	J	T					
22. American Funds: Growth Fund of America	B	Dividend	K	T					
23. American Funds: Investment Co. of America C1 R3	B	Dividend	K	T					
24. American Funds: EuroPacific Growth Fund	A	Dividend	K	T					
25. American Funds: American Balanced C1F	B	Dividend	K	T	Buy	03/17/16	K		
26. American Funds: American Balanced C1 R3	B	Dividend	K	T					
27. Fidelity Balanced Fund	B	Dividend	K	T	Buy	03/17/16	K		
28. James Balanced Golden Rainbow Fund	B	Dividend	L	T	Buy	03/17/16	K		
29. American Funds: Bond Fund of America	A	Dividend	K	T					
30. American Funds: Bond Fund of America C1 a [edj]	A	Dividend	J	T					
31. American Funds: Capital Incom Bldr Fund A [edj]	A	Dividend	J	T					
32. American Funds: Capital World Grw & Inc Fund A[edj]	A	Dividend	J	T					
33. American Funds: Washington Mutual Invs Fd C1 A [edj]	A	Dividend	J	T					
34. Thrivent Financial for Lutherans: Deferred Income	A	Interest			Closed	12/30/16	K		

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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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35. farmland, Marshall County, MN	D	Rent	K	W					

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
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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 section VII. I contacted the Financial Disclosure Office for direction on how to report the payments on this years FDR, but had not received a response. So I have listed the CRP payments in both sections III and VII.

VII. Investments and Trusts. Line 35 has been reported on previous reports but there has been no income. This year 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". I contacted the Financial Disclosure Office for direction on how to report the payments on this years FDR, but had not received a response. So I have listed the CRP payments 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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