AO 10
Rev. 1/2021

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2021

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)	2. Court or Organization	3. Date of Report
Menendez, Katherine M.	U.S. District Court, District of Minnesota	08/13/2022
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)	**5a. Report Type (check appropriate type)**	**6. Reporting Period**
U.S. Magistrate Judge (Full Time)	☐ Nomination Date ☐ Initial ☑ Annual ☐ Final **5b.** ☐ Amended Report	01/01/2021 **to** 12/31/2021
7. Chambers or Office Address		
United States Courthouse 300 S. 4th 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.)*

	POSITION	NAME OF ORGANIZATION/ENTITY
1.	Adjunct Professor	University of Minnesota School of Law
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.		

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.	2021	University of Minnesota, Salary for Adjunct Professor	$1,500.00
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.)*

	DATE	SOURCE AND TYPE
1.	2021	Hennepin County, Assistant County Administrator, 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.	National Conference of Bar Examiners	October 14-17, 2021	Burlington, VT	Evidence Questions Committee Meeting	Meals, travel, lodging
2.					
3.					
4.					
5.					

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Menendez, Katherine M.	08/13/2022

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.			

Name of Person Reporting	Date of Report
Menendez, Katherine M.	08/13/2022

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 (1) Amount Code 1 (A-H)	B. (2) Type (e.g., div., rent, or int.)	C. Gross value at end of reporting period (1) Value Code 2 (J-P)	C. (2) Value Method Code 3 (Q-W)	D. Transactions during reporting period (1) Type (e.g., buy, sell, redemption)	D. (2) Date mm/dd/yy	D. (3) Value Code 2 (J-P)	D. (4) Gain Code 1 (A-H)	D. (5) Identity of buyer/seller (if private transaction)
1. Individual Assets (H)									
2. US Bank (cash)	A	Interest	K	T					
3. Patterson Dental	A	Dividend	J	T					
4. Walt Disney		None	J	T					
5. Amerprise Cash Reserve Certificate (cash)	A	Interest			Closed	12/29/21	J		
6. Account #1 (H)									
7. T Rowe Price Intl Discovery Fund I (PRIDX)	D	Dividend	K	T	Sold (part)	07/19/21	J		
8.					Sold (part)	10/15/21	J		
9. Vanguard Intl Growth Fund Adm Cl (VWILX)	C	Dividend	K	T	Sold (part)	07/19/21	J		
10.					Sold (part)	10/15/21	J		
11. Invesco Developing Markets Fund Cl R6 (ODVIX)	B	Dividend	K	T	Buy (add'l)	07/19/21	J		
12.					Buy (add'l)	10/15/21	J		
13. Fidelity Small Cap Index Fund (FSSNX)	B	Dividend	K	T	Sold (part)	07/19/21	J		
14.					Buy (add'l)	10/15/21	J		
15. Fidelity Small Cap Growth Fund K6 (FOCSX)	D	Dividend	K	T	Sold (part)	07/19/21	J		
16.					Buy (add'l)	10/15/21	J		
17. Fidelity Low Priced Stock Fund K6 (FLKSX)	B	Dividend	K	T	Sold (part)	07/19/21	J		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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 (See Column C2)	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
	U =Book Value	V =Other	W =Estimated		

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Menendez, Katherine M.	08/13/2022

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)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	Place "(X)" after each asset exempt from prior disclosure	(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.						Sold (part)	10/15/21	J		
19.	T Rowe Price Diversified Midcap Growth Fund I (PRDMX)	C	Dividend	K	T	Sold (part)	10/15/21	J		
20.	Fidelity 500 Index Fund (FXAIX)	A	Dividend	K	T	Sold (part)	07/19/21	J		
21.	Fidelity Blue Chip Growth Fund K6 (FBCGX)	C	Dividend	K	T	Sold (part)	07/19/21	J		
22.						Sold (part)	10/15/21	J		
23.	Invesco Diversified Dividend Fund R6 (LCEFX)	D	Dividend	K	T	Buy (add'l)	10/15/21	J		
24.	Fidelity Limited Term Govt Fund (FFSXS)	A	Dividend	K	T	Buy (add'l)	07/19/21	J		
25.						Buy (add'l)	10/15/21	J		
26.	Fidelity US Bond Index Fund (FXNAX)	A	Dividend	J	T	Buy (add'l)	07/19/21	J		
27.						Sold (part)	10/15/21	K		
28.	Blackrock Inflation Protected Bond Fund Inst Sh (BPLBX)	B	Dividend	K	T	Buy (add'l)	07/19/21	J		
29.						Buy (add'l)	10/15/21	J		
30.	Account #2 (H)									
31.	Ameriprise Insured Money Market (AIMMA) (cash equiv.)	A	Interest	J	T					
32.	Columbia U S Social Bond CL C (CONCX)	A	Dividend	J	T	Buy (add'l)	03/08/21	J		
33.						Buy (add'l)	05/10/21	J		
34.						Buy (add'l)	07/08/21	J		

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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35.					Buy (add'l)	09/08/21	J		
36.					Buy (add'l)	11/09/21	J		
37.					Sold (part)	12/29/21	J	A	
38. Neuberger Berman Sustainable Equity Cl C (NRACX)	B	Dividend	K	T	Buy (add'l)	02/08/21	J		
39.					Buy (add'l)	04/08/21	J		
40.					Buy (add'l)	06/08/21	J		
41.					Buy (add'l)	08/09/21	J		
42.					Buy (add'l)	10/08/21	J		
43.					Buy (add'l)	12/08/21	J		
44. Account #3 (H)									
45. MN Saves 2020/2021 Enrollment Option		None			Sold	06/11/21	L		
46. MN Saves In School Enrollment Option		None	L	T	Buy	06/11/21	L		
47.					Distributed (part)	12/20/21	K		
48. Account #4 (H)									
49. MN Saves 2022/2023 Enrollment Option		None	M	T					
50. Account #5 (H)									
51. Vanguard Total Intl Stock Indx Instl Pls	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	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
	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 (See Columns C1 and D3)	J =$15,000 or less	K =$15,001 - $50,000	L =$50,001 - $100,000	M =$100,001 - $250,000	
	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	
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52. Vanguard Total Stock Indx Instl Pls	A	Dividend	K	T					

1. Income Gain Codes: (See Columns B1 and D4) 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; F =$50,001 - $100,000; G =$100,001 - $1,000,000; H1 =$1,000,001 - $5,000,000; H2 =More than $5,000,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

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Menendez, Katherine M.	08/13/2022

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 M. Menendez

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
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