AO 10
Rev. 1/2019

# 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 |
|---|---|---|
| Tunheim, John R. | District of Minnesota | 07/31/2023 |
| **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. District Chief Judge - Active | ☐ Nomination Date<br>☐ Initial ☑ Annual ☐ Final<br>**5b.** ☑ Amended Report | 01/01/2021<br>**to**<br>12/31/2021 |
| **7. Chambers or Office Address** | | |
| 15 United States Courthouse<br>300 South Fourth Street<br>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. | Director | CEELI Institute, Prague |
| 2. | Advisor | Advisory Board to the Humphrey School of Public Affairs at the University of Minnesota |
| 3. | Member | National Advisory Council for Concordia Language Villages, Concordia College, Moorhead, MN |
| 4. | Special Counsel | Rule of Law Initiative, American Bar Association |
| 5. | Advisory Board | Oslo Center for Peace and Human Rights - Norway |
| 6. | Advisory Board | The Institute for Civil Justice, RAND Corporation |
| 7. | Council, Executive Committee Member | Criminal Justice Section, American Bar Association |
| 8. | Board Member | World Press Institute |

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

☑ NONE *(No reportable agreements.)*

| | DATE | PARTIES AND TERMS |
|---|---|---|
| 1. | | |
| 2. | | |
| 3. | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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. January 1 | Conservation Reserve Program, Farm Service Agency, USDA | $6,048.00 |
| 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 | Self-employed Public Relations Consultant |
| 2. 2021 | Landscape Structures, Inc., Delano, MN (Board Member compensation) |
| 3. 2021 | McKnight Foundation (Board Member compensation) |
| 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. | | | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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 |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | 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) |
| 1. American Funds: American Balanced Fund C1 F3 | D | Dividend | N | T | Sold (part) | 12/22/21 | L | E | |
| 2. Schwab Bank Sweep | A | Interest | J | T | | | | | |
| 3. iShares Core S&P Smallcap | A | Dividend | K | T | | | | | |
| 4. American Funds: New World Fund C1 F3 | B | Dividend | K | T | | | | | |
| 5. American Funds: American Balanced Fund C1 F3 | C | Dividend | M | T | Buy (add'l) | 11/17/21 | J | | |
| 6. Fidelity Balanced Fund | D | Dividend | L | T | | | | | |
| 7. Mairs & Power Balanced | C | Dividend | L | T | | | | | |
| 8. Vanguard Global Wellington Adm | C | Dividend | M | T | Buy (add'l) | 08/04/21 | J | | |
| 9. Schwab Bank Sweep | A | Interest | J | T | | | | | |
| 10. American Funds: Growth Fund of America C1 R3 | D | Dividend | M | T | | | | | |
| 11. American Funds: Investment Co of Amer Fund C1 R3 | C | Dividend | L | T | | | | | |
| 12. American Funds: EuroPacific Growth Fund C1 R3 | C | Dividend | K | T | | | | | |
| 13. American Funds: American Balanced Fund C1 R3 | D | Dividend | N | T | Buy (add'l) | 01/13/21 | J | | |
| 14. | | | | | Buy (add'l) | 01/27/21 | J | | |
| 15. | | | | | Buy (add'l) | 02/08/21 | J | | |
| 16. | | | | | Buy (add'l) | 02/24/21 | J | | |
| 17. | | | | | Buy (add'l) | 03/08/21 | 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 | |
| | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | 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. | | | | | Buy (add'l) | 03/10/21 | J | | |
| 19. | | | | | Buy (add'l) | 03/22/21 | J | | |
| 20. | | | | | Buy (add'l) | 03/26/21 | J | | |
| 21. | | | | | Buy (add'l) | 04/05/21 | J | | |
| 22. | | | | | Buy (add'l) | 04/19/21 | J | | |
| 23. | | | | | Buy (add'l) | 05/05/21 | J | | |
| 24. | | | | | Buy (add'l) | 05/13/21 | J | | |
| 25. | | | | | Buy (add'l) | 05/17/21 | J | | |
| 26. | | | | | Buy (add'l) | 06/02/21 | J | | |
| 27. | | | | | Buy (add'l) | 06/08/21 | J | | |
| 28. | | | | | Buy (add'l) | 06/16/21 | J | | |
| 29. | | | | | Buy (add'l) | 06/30/21 | J | | |
| 30. | | | | | Buy (add'l) | 07/13/21 | J | | |
| 31. | | | | | Buy (add'l) | 07/16/21 | J | | |
| 32. | | | | | Buy (add'l) | 07/28/21 | J | | |
| 33. | | | | | Buy (add'l) | 08/09/21 | J | | |
| 34. | | | | | Buy (add'l) | 08/11/21 | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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 | B | | C | | D | | | | |
|---|---|---|---|---|---|---|---|---|---|---|
| | Description of Assets (including trust assets) | Income during reporting period | | Gross value at end of reporting period | | 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) |
| 35. | | | | | | Buy (add'l) | 08/27/21 | J | | |
| 36. | | | | | | Buy (add'l) | 09/03/21 | J | | |
| 37. | | | | | | Buy (add'l) | 09/09/21 | J | | |
| 38. | | | | | | Buy (add'l) | 09/24/21 | J | | |
| 39. | | | | | | Buy (add'l) | 10/08/21 | J | | |
| 40. | | | | | | Buy (add'l) | 10/12/21 | J | | |
| 41. | | | | | | Buy (add'l) | 11/12/21 | J | | |
| 42. | American Funds: Bond Fund of America C1 R3 | A | Dividend | L | T | | | | | |
| 43. | Wells Fargo Bank Accounts | A | Interest | L | T | | | | | |
| 44. | Hiway Federal Credit Union | A | Interest | J | T | | | | | |
| 45. | Honeywell Retirement Benefit Plan (not self-directed) | A | Int./Div. | M | T | | | | | |
| 46. | State of Minnesota Deferred Compensation Account (not self-directed) | A | Int./Div. | J | T | | | | | |
| 47. | American Funds: Capital Income Bldr Fund A | D | Dividend | J | T | | | | | |
| 48. | American Funds: Capital World Grw & Inc. Fund A | C | Dividend | J | T | | | | | |
| 49. | American Funds: Washington Mutual Invs Fd C1 A | C | Dividend | J | 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 | |
| | 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 | | |

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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.

VII. Line 45 - The Honeywell Retirement Benefit Plan is not self-directed. It is allocated between five funds - The Growth Fund of America - R3, The EuroPacific Growth Fund - R3, The Investment Company of America - R3, American Balanced Fund - R3, and the Bond Fund of America - R3.

VII. Line 46 - The State of Minnesota Deferred Compensation Plan is not self-directed. It is invested entirely in the Vanguard Balanced Index Fund.

| Name of Person Reporting | Date of Report |
|---|---|
| **Tunheim, John R.** | 07/31/2023 |

## 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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544