

Financial Disclosures

Annual Report for Calendar 2016 (Amendment 2)

The Honorable Al S Franken (Franken, Al)

Filed 07/21/2017 @ 5:07 PM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Pension	Producers-Writers Guild of America Pension Plan New York, NY	\$104,583.00
2	Self	Pension	American Federation of TV & Radio Artists New York, NY	\$37,176.00
3	Self	Pension	Screen Actors Guild Los Angeles, CA	\$22,380.00
4	Self	Other (Advance)	Grand Central Publishing New York, NY	\$332,750.00

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

eFD: Home

URL: <http://www.eFD.com>

Asset	Owner	Value	Income Type	Income
eFD: Home	Al Franken	\$100,000	Rental	\$1,200

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	Wells Fargo (Minneapolis, MN) <i>Type: Checking,</i>	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
2	United States Senate Federal Credit Union (Washington, DC) <i>Type: Checking,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
3	Broadway Video Inc Profit Sharing A 401(k) Plan 100% Mot Life Pool GIC	Retirement Plans Defined Benefit Pension Plan	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
4	Alan Franken Inc listed as unsecured Primary creditor in 2005 Piquant LLC Bankruptcy Filing <i>Company: Piquant LLC (Wilmington, DE)</i>	Accounts Receivable From a Business	Joint	\$250,001 - \$500,000	None,	None (or less than \$201)
5	Alan Franken Inc <i>Description: A multi-media Professional Services Corporation including but not limited to writing, acting, producing and personal appearances in all film/video/digital/TV formats and all print, media, internet and Talk Shows (Minneapolis, MN)</i>	Other Securities	Joint	\$500,001 - \$1,000,000	None,	None (or less than \$201)
6	Alan Franken Inc Profit Sharing Plan <i>Description: Profit Sharing Plan (Minneapolis, MN) Filer comment: The Profit Sharing Plan is a Defined Contribution Plan.</i>	Other Securities	Joint			
6.1	<u>FRIAX</u> - Franklin Income Adv (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.2	<u>NBSLX</u> - Neuberger Berman Socially Rspns Inst (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.3	<u>MCIFX</u> - Miller Convertible Bond I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
6.4	<u>PPSIX</u> - Principal Preferred Securities Inst (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
6.5	<u>JSOSX</u> - JPMorgan Strategic Income Opps Sel (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.6	<u>FEVIX</u> - First Eagle US Value I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.7	<u>MALOX</u> - BlackRock Global Allocation Instl (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.8	<u>FSRIX</u> - Fidelity Advisor Strategic Income I (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.9	JP Morgan (New York, NY) <i>Type: Money Market Account,</i> <i>Filer comment: Asset is JP Morgan's 100% US Treasury Securities Money Market Fund</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.10	GNMA Pool 003923M 11-20-2036 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6.11	GNMA Pool 003956M 2-20-2037 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6.12	GNMA 2 3968M 7% 3- 20-2037 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6.13	DBLTX - DoubleLine Total Return Bond I	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.14	<u>VADDX</u> - Invesco Equally-Wtd S&P 500 Y	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.15	RWJ - Oppenheimer Small Cap Revenue ETF	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.16	PONPX - PIMCO Income P	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
6.17	EZM - WisdomTree MidCap Earnings ETF	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.18	<u>HBLIX</u> - Hartford Balanced Income I	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.19	<u>LDLFX</u> - Lord Abbett Short Duration Income F	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.20	<u>PIMIX</u> - PIMCO Income Instl	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
6.21	<u>PGOYX</u> - Putnam Growth Opportunities Y	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
6.22	<u>MXIIX</u> - Touchstone Flexible Income Y	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7	Alan Franken Wells Fargo IRA	Retirement Plans IRA	Self			
7.1	<u>DBLTX</u> - DoubleLine Total Return Bond I	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.2	<u>EAAIX</u> - Wells Fargo Asset Allocation Inst	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.3	<u>EZM</u> - WisdomTree MidCap Earnings ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.4	<u>FEVIX</u> - First Eagle US Value I	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.5	<u>FRIAX</u> - Franklin Income Adv	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
7.6	<u>FSRIX</u> - Fidelity Advisor Strategic Income I	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
7.7	<u>HBLIX</u> - Hartford Balanced Income I	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.8	<u>JSOSX</u> - JPMorgan Strategic Income Opports I	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.9	<u>LDLFX</u> - Lord Abbett Short Duration Income F	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.10	<u>MALOX</u> - BlackRock Global Allocation Instl	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.11	<u>MCIFX</u> - Miller Convertible Bond I	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.12	<u>MXIX</u> - Touchstone Flexible Income Y	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.13	<u>NBSLX</u> - Neuberger Berman Socially Rspns Inst	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.14	<u>PGOYX</u> - Putnam Growth Opportunities Y	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.15	<u>PIMIX</u> - PIMCO Income Instl	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
7.16	<u>PPSIX</u> - Principal Preferred Securities Inst	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.17	<u>RWJ</u> - Oppenheimer Small Cap Revenue ETF	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
7.18	<u>VADDX</u> - Invesco Equally-Wtd S&P 500 Y	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
7.19	GNMA Pool 003923M 11-20-2036 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.20	GNMA Pool 003956M 2-20-2037 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.21	Wells Fargo (Minneapolis, MN) <i>Type:</i> IRA Cash Accounts,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
8	Frances Franken Wells Fargo IRA	Retirement Plans IRA	Spouse			
8.1	<u>AWSHX</u> - American Funds Washington Mutual A	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
8.2	<u>AGTHX</u> - American Funds Growth Fund of Amer A	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
8.3	Wells Fargo (Minneapolis, MN) <i>Type:</i> IRA Cash Accounts,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9	Wells Fargo Brokerage Account	Brokerage/Managed Account	Joint			
9.1	<u>ABTYX</u> - AB High Income Municipal Advisor	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$2,501 - \$5,000
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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
9.2	<u>ACETX</u> - Invesco Equity and Income Y	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.3	<u>ACTDX</u> - Invesco High Yield Municipal Y	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.4	<u>ANGIX</u> - Angel Oak Multi-Strategy Income Instl	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.5	<u>BWLYX</u> - American Beacon Bridgeway Lg Cp Val Y	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$1,001 - \$2,500
9.6	<u>DBLTX</u> - DoubleLine Total Return Bond I	Mutual Funds Mutual Fund	Joint	\$250,001 - \$500,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.7	<u>DHS</u> - WisdomTree High Dividend ETF	Mutual Funds Exchange Traded Funds/Notes	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
9.8	<u>EZM</u> - WisdomTree MidCap Earnings ETF	Mutual Funds Exchange Traded Funds/Notes	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$2,501 - \$5,000
9.9	<u>FRIAX</u> - Franklin Income Adv	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.10	<u>GIBIX</u> - Guggenheim Total Return Bond Instl	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
9.11	<u>LDLFX</u> - Lord Abbett Short Duration Income F	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$2,501 - \$5,000

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
9.12	<u>MAMTX</u> - BlackRock Strategic Muni Opps Instl	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$2,501 - \$5,000
9.13	<u>NBSLX</u> - Neuberger Berman Socially Rspns Inst	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
9.14	<u>NOBL</u> - ProShares S&P 500 Dividend Aristocrats	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Excepted Investment Fund,	\$2,501 - \$5,000
9.15	<u>PIMIX</u> - PIMCO Income Instl	Mutual Funds Mutual Fund	Joint	\$250,001 - \$500,000	Excepted Investment Fund,	\$15,001 - \$50,000
9.16	<u>PONPX</u> - PIMCO Income P	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	\$2,501 - \$5,000
9.17	<u>RWJ</u> - Oppenheimer Small Cap Revenue ETF	Mutual Funds Exchange Traded Funds/Notes	Joint	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000
9.18	GNMA Pool 003956M 2-20-2037 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
9.19	GNMA Pool 003959M 2-20-2022 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
9.20	GNMA Pool 781530X 12-15-2032 <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)

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<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
9.21 Wells Fargo (Minneapolis, MN) Type: Brokerage Sweep Account,	Bank Deposit	Joint	\$100,001 - \$250,000	Interest,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions * Amended

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Self	<u>FEVIX</u>	First Eagle US Value I	Purchase	12/15/2016	\$1,001 - \$15,000	--
2	Self	<u>MALOX</u>	BlackRock Global Allocation Instl	Purchase	12/20/2016	\$1,001 - \$15,000	--
3	Self	<u>NBSLX</u>	Neuberger Berman Socially Rspns Inst	Purchase	12/19/2016	\$1,001 - \$15,000	--
4	Self	<u>PIMIX</u>	PIMCO Income Instl	Purchase	08/08/2016	\$15,001 - \$50,000	--
5	Self	<u>MXIIX</u>	Touchstone Flexible Income Y	Purchase	08/08/2016	\$15,001 - \$50,000	--
6	Self	<u>LDLFX</u>	Lord Abbett Short Duration Income F	Purchase	08/08/2016	\$50,001 - \$100,000	--
7	Self	<u>HBLIX</u>	Hartford Balanced Income I	Purchase	08/08/2016	\$50,001 - \$100,000	--
8	Self	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	08/08/2016	\$15,001 - \$50,000	--
9	Self	<u>PTTRX</u>	PIMCO Total Return Instl	Sale (Full)	08/08/2016	\$50,001 - \$100,000	--
10	Self	<u>JSOSX</u>	JPMorgan Strategic Income Opports I	Sale (Partial)	08/08/2016 hide me	\$15,001 - \$50,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
11	Self	<u>BGNIX</u>	BlackRock GNMA Instl	Sale (Full)	08/08/2016	\$50,001 - \$100,000	--
12	Self	<u>EAAIX</u>	Wells Fargo Asset Allocation Inst	Sale (Full)	08/09/2016	\$50,001 - \$100,000	--
13	Self	<u>PVYYX</u>	Putnam Voyager Y	Sale (Full)	10/25/2016	\$15,001 - \$50,000	--
14	Self	<u>PGOYX</u>	Putnam Growth Opportunities Y	Purchase	10/25/2016	\$15,001 - \$50,000	--
15	Self	<u>PONPX</u>	PIMCO Income P	Sale (Full)	02/10/2016	\$15,001 - \$50,000	--
16	Self	<u>PIMIX</u>	PIMCO Income Instl	Purchase	02/10/2016	\$15,001 - \$50,000	--
17	Spouse	<u>AGTHX</u>	American Funds Growth Fund of Amer A	Purchase	12/22/2016	\$1,001 - \$15,000	--
18	Joint	<u>MALOX</u>	BlackRock Global Allocation Instl	Purchase	12/20/2016	\$1,001 - \$15,000	--
19	Joint	<u>FEVIX</u>	First Eagle US Value I	Purchase	12/15/2016	\$1,001 - \$15,000	--
20	Joint	<u>HBLIX</u>	Hartford Balanced Income I	Purchase	12/19/2016	\$1,001 - \$15,000	--
21	Joint	<u>HBLIX</u>	Hartford Balanced Income I	Purchase	12/29/2016	\$1,001 - \$15,000	--
22	Joint	<u>VADDX</u>	Invesco Equally-Wtd S&P 500 Y	Purchase	12/14/2016	\$1,001 - \$15,000	--
23	Joint	<u>NBSLX</u>	Neuberger Berman Socially Rspns Inst	Purchase	12/19/2016	\$1,001 - \$15,000	--
24	Joint	<u>MXIIX</u>	Touchstone Flexible Income Y	Purchase	08/08/2016	\$50,001 - \$100,000	--
25	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	08/08/2016	\$50,001 - \$100,000	--
26	Joint	<u>LDLFX</u>	Lord Abbett Short Duration Income F	Purchase	08/08/2016	\$50,001 - \$100,000	--
27	Joint	<u>HBLIX</u>	Hartford Balanced Income I	Purchase	08/08/2016 hide me	\$100,001 - \$250,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
28	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	08/08/2016	\$50,001 - \$100,000	--
29	Joint	<u>BGNIX</u>	BlackRock GNMA Instl	Sale (Full)	08/08/2016	\$100,001 - \$250,000	--
30	Joint	<u>EAAIX</u>	Wells Fargo Asset Allocation Inst	Sale (Full)	08/09/2016	\$100,001 - \$250,000	--
31	Joint	<u>PTTRX</u>	PIMCO Total Return Instl	Sale (Full)	08/08/2016	\$100,001 - \$250,000	--
32	Joint	<u>JSOSX</u>	JPMorgan Strategic Income Opports I	Sale (Partial)	08/08/2016	\$50,001 - \$100,000	--
33	Joint	<u>PONPX</u>	PIMCO Income P	Sale (Full)	02/10/2016	\$250,001 - \$500,000	--
34	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	02/10/2016	\$250,001 - \$500,000	--
35	Joint	<u>PVYYX</u>	Putnam Voyager Y	Sale (Full)	10/25/2016	\$50,001 - \$100,000	--
36	Joint	<u>PGOYX</u>	Putnam Growth Opportunities Y	Purchase	10/25/2016	\$50,001 - \$100,000	--
37	Joint	<u>BWLYX</u>	American Beacon Bridgeway Lg Cp Val Y	Purchase	12/23/2016	\$1,001 - \$15,000	--
38	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	12/01/2016	\$1,001 - \$15,000	--
39	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	11/01/2016	\$1,001 - \$15,000	--
40	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	10/03/2016	\$1,001 - \$15,000	--
41	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	09/01/2016	\$1,001 - \$15,000	--
42	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	08/01/2016	\$1,001 - \$15,000	--
43	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	07/01/2016	\$1,001 - \$15,000	--
44	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	04/01/2016 hide me	\$1,001 - \$15,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
45	Joint	<u>DBLTX</u>	DoubleLine Total Return Bond I	Purchase	01/04/2016	\$1,001 - \$15,000	--
46	Joint	<u>ACETX</u>	Invesco Equity and Income Y	Purchase	12/14/2016	\$1,001 - \$15,000	--
47	Joint	<u>ACETX</u>	Invesco Equity and Income Y	Purchase	12/14/2016	\$1,001 - \$15,000	--
48	Joint	<u>NBSLX</u>	Neuberger Berman Socially Rspns Inst	Purchase	12/19/2016	\$1,001 - \$15,000	--
49	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	12/01/2016	\$1,001 - \$15,000	--
50	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	11/01/2016	\$1,001 - \$15,000	--
51	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	10/03/2016	\$1,001 - \$15,000	--
52	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	09/01/2016	\$1,001 - \$15,000	--
53	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	08/01/2016	\$1,001 - \$15,000	--
54	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	07/01/2016	\$1,001 - \$15,000	--
55	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	06/01/2016	\$1,001 - \$15,000	--
56	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	05/02/2016	\$1,001 - \$15,000	--
57	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	04/01/2016	\$1,001 - \$15,000	--
58	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	03/01/2016	\$1,001 - \$15,000	--
59	Joint	<u>PONPX</u>	PIMCO Income P	Purchase	02/01/2016	\$1,001 - \$15,000	--
60	Joint	<u>PONPX</u>	PIMCO Income P	Purchase	01/04/2016	\$1,001 - \$15,000	--
61	Joint	<u>LDLFX</u>	Lord Abbett Short Duration Income F	Purchase	08/04/2016 hide me	\$50,001 - \$100,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
62	Joint	<u>LDLFX</u>	Lord Abbett Short Duration Income F	Purchase	06/09/2016	\$50,001 - \$100,000	--
63	Joint	<u>LDLFX</u>	Lord Abbett Short Duration Income F	Purchase	06/02/2016	\$50,001 - \$100,000	--
64	Joint	<u>MAMTX</u>	BlackRock Strategic Muni Opps Instl	Purchase	04/11/2016	\$50,001 - \$100,000	--
65	Joint	<u>NOBL</u>	ProShares S&P 500 Dividend Aristocrats	Purchase	04/11/2016	\$15,001 - \$50,000	--
66	Joint	<u>MAMTX</u>	BlackRock Strategic Muni Opps Instl	Purchase	03/14/2016	\$50,001 - \$100,000	--
67	Joint	<u>NOBL</u>	ProShares S&P 500 Dividend Aristocrats	Purchase	03/14/2016	\$15,001 - \$50,000	--
68	Joint	<u>ABTYX</u>	AB High Income Municipal Advisor	Purchase	02/03/2016	\$15,001 - \$50,000	--
69	Joint	<u>GIBIX</u>	Guggenheim Total Return Bond Instl	Purchase	02/03/2016	\$15,001 - \$50,000	--
70	Joint	<u>NOBL</u>	ProShares S&P 500 Dividend Aristocrats	Purchase	02/03/2016	\$15,001 - \$50,000	--
71	Joint	<u>PONPX</u>	PIMCO Income P	Sale (Full)	02/10/2016	\$50,001 - \$100,000	--
72	Joint	<u>PIMIX</u>	PIMCO Income Instl	Purchase	02/10/2016	\$50,001 - \$100,000	--

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

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#	Incurred	Debtor	Type	Rate		Amount	Creditor	Comments
				Points	(Term)			
1	2015	Joint	Mortgage	1/4	3.25% (15 Years)	\$250,001 - \$500,000	Wells Fargo Bank Minneapolis, MN	-
2	2013	Joint	Other (Secured Line of Credit)	-	LIBOR+3% (N/A)	\$50,001 - \$100,000	Wells Fargo Bank Minneapolis, MN	-

Part 8. Positions * Amended

Did you hold any outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 1991 to present	Other (President/Joint Owner/Employee)	Alan Franken Inc Minneapolis, MN	Other (Professional Services Corp)	
2	Feb 2013 to present	Other (Board Member)	United States Holocaust Memorial Washington, DC	Nonprofit Organization	

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms
1	Jan 1991	Alan Franken Inc Profit Sharing Plan Minneapolis, MN	Continuing participation in an employee benefit plan	Retirement Plan
2	Aug 1975	American Federation of TV & Radio Artists New York, NY	Continuing participation in an employee benefit plan	Union Defined Benefit Plan
3	Aug 1975	Writer's Guild of America New York, NY	Continuing participation in an employee benefit plan	Union Defined Benefit Plan
4	Jan 1983	Screen Actors Guild Los Angeles, CA	Continuing participation in an employee benefit plan	Union Defined Benefit Plan

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#	Date	Parties Involved	Type	Status and Terms
5	Sep 1977	American Society of Composers, Authors & Publishing New York, NY	Royalty Agreement	Distribution of Royalties Song Writing/Lyrics: various, "Saturday Night Live"
6	Jun 1990	The Lazear Agency Hudson, WI	Compensation Agreement	Distribution of Royalties for books, in all Print media, Digital & Audio Formats
7	Aug 1991	Dell Publishing, Div. of Bantam, Doubleday Dell New York, NY	Royalty Agreement	Royalties for: Book, "Stuart Saves His Family"
8	Aug 1994	Delacourt Press, Dv. of Bantam, Doubleday Dell New York, NY	Royalty Agreement	Royalties for: Book, "Rush Limbaugh is a Big Fat Idiot"
9	Feb 1996	Delacourt Press, Div. of Bantam, Doubleday Dell New York, NY	Royalty Agreement	Royalties for: Book, "Why Not Me"
10	Mar 1999	Bantam Doubleday Dell Audio Publishing New York, NY	Royalty Agreement	Royalties, for audio book only: Book, "Why Not Me"
11	Jan 2001	Dutton, Div Penguin Putnam Inc. New York, NY	Royalty Agreement	Royalties for: Book, "Oh The Things I Know"
12	Sep 2002	Dutton, Div Penguin Putnam Inc. New York, NY	Royalty Agreement	Royalties for: Book, "Lies and the Lying Liars Who Tell Them"
13	Jun 2004	Dutton, Div Penguin Putnam Inc. New York, NY	Royalty Agreement	Royalties for: Book, "The Truth with Jokes"
14	Jan 1976	EP Entertainment Los Angeles, CA	Other (Payroll Service)	Payroll Service for Multiple Entertainment Business Vendors Residual/Fees
15	Sep 1975	NBC Universal/Vivendi Universal Universal City, CA	Compensation Agreement	Residuals Performing, Writing, Producing (Multiple Clients, NBC TV Programs, Saturday Night Live, etc.)
16	Jun 2004	NBC Enterprises/Saturday Night Live/Bally Interact. Beverly Hills, CA	Other (Merchandising)	Saturday Night Live Merchandising
17	Aug 1975	Writer's Guild Of America East New York, NY	Compensation Agreement	Saturday Night Live Residuals

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#	Date	Parties Involved	Type	Status and Terms
18	Feb 2008	Writer's Guild of America West Los Angeles, CA	Royalty Agreement	Distribution of Foreign Copyright Royalties (Writing, Multi Various Movie and TV projects)
19	Jun 1990	Disney World Wide Services Glendale, CA	Compensation Agreement	Residuals: Writing & Performing in a Film: "When a Man Loves a Woman"
20	Jun 1993	Paramount Pictures Los Angeles, CA	Compensation Agreement	Residuals: Writing & Performing in a Film; "Stuart Saves His Family"
21	Jun 1983	Paramount Pictures Los Angeles, CA	Compensation Agreement	Residuals: Cameo Appearance in a Film: "Trading Places"
22	Jan 2004	Paramount Pictures Los Angeles, CA	Compensation Agreement	Residuals: Cameo Appearance in a Film: "Manchurian Candidate"
23	Apr 2016	Grand Central Publishing New York, NY	Royalty Agreement	Advance and royalties based on customary and usual terms for a memoir.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the **two** prior years? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.

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