

# Financial Disclosures

## Annual Report for Calendar 2016

**The Honorable Amy J Klobuchar (Klobuchar, Amy)**

Filed 05/15/2017 @ 5:47 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	Spouse	Salary	State of Maryland (University of Baltimore) Annapolis, MD	> \$1,000
2	Spouse	Salary	Georgetown University Washington, DC	> \$1,000
3	Spouse	Royalties	Brookings Institution Press Washington, DC	> \$1,000
4	Spouse	Salary	Kelly & Berens, P.A. (now d/b/a Berens & Miller, P.A.) Minneapolis, MN	> \$1,000
5	Self	Other (Mandatory Annual Distribution from IRA of Rose Klobuchar (f/b/o Amy J. Klobuchar))	Waddell & Reed Shawnee Mission, KS	\$380.00

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### 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**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	<b>QCBMIX - CREF Bond Market Account - R3</b>	Retirement Plans Deferred Compensation	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2	<b>TCLFX - TIAA-CREF Lifecycle 2025 Retirement</b>	Retirement Plans Deferred Compensation	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
3	<b>United States Senate Federal Credit Union</b> (Washington, DC) <i>Type: Checking, IRA Cash Accounts, Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
4	<b>Personal IRA</b>	Retirement Plans IRA	Self	\$1,001 - \$15,000	Dividends, Capital Gains, Excepted Investment Fund,	
4.1	<b>UNASX - Waddell &amp; Reed Asset Strategy A</b> <i>Filer comment: IRA of Rose Klobuchar (FBO Amy Klobuchar) - annual year-end distribution</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
5	<b>Wells Fargo</b> (Minneapolis, MN) <i>Type: Checking,</i>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6	<b>TruStone Financial</b> (Minneapolis, MN) <i>Type: Checking, IRA Cash Accounts, Money Market Account, Savings,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
7	<b>Select Bond (MSA/Wells Capital Management Inc.)</b>	Life Insurance Variable	Spouse	\$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>
8	<b>International Equity (MSA/Franklin Tmpl)</b>	Life Insurance Variable	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
9	<b>Index 500 Stock (MSA)</b>	Life Insurance Variable	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
10	<b>Mid Cap Growth Stock (MSA/William Blair and Co.)</b>	Life Insurance Variable	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11	<b>High Yield Bond (MSA/Federated Invest. Mgmt. Co.)</b>	Life Insurance Variable	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
12	<b>Small Cap Growth Stock (MSA/Wellington Management)</b>	Life Insurance Variable	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
13	<b>Russell Multi-Style Equity</b>	Life Insurance Variable	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
14	<b>Russell Non-US</b>	Life Insurance Variable	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
15	<b>Small Cap Value (MSA/T Rowe Price)</b>	Life Insurance Variable	Spouse	\$1,001 - \$15,000	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>
16	<b>Mid Cap Value (MSA/American Century)</b>	Life Insurance Variable	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
17	<b>Bank of America</b> (Arlington, VA) Type: Checking,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
18	<b>Fidelity Investments IRA</b>	Retirement Plans IRA	Spouse			
18.1	<b>Fidelity Adv Balanced</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
18.2	<b>Fidelity Adv Growth Opportunity</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
18.3	<b>Fidelity Adv Overseas</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
18.4	<b>Fidelity Adv Equity Income</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
18.5	<b>Fidelity Adv Equity Growth</b>	Mutual Funds Mutual Fund	Spouse	\$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>
18.6	<b>Fidelity Adv Limited Term Bond</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
19	<b>Vanguard(R) Small-Cap Index Fund- Institutional (457(b) Plan)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
20	<b>Vanguard(R) Small-Cap Index Fund- Institutional (401(k) Plan)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	None (or less than \$201)
21	<b>Guggenheim Investments - Investment Grade Bond-C</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	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

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **No**

#### 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? **No**  
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## Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

## Part 9. Agreements

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

#	Date	Parties Involved	Type	Status and Terms
1	Apr 1986	Waveland Press, Inc. Long Grove, IL	Royalty Agreement	Publishing agreement with Waveland Press, Inc. to receive book royalties consistent with usual and customary publishing terms. Waveland Press, Inc. continues to publish, and to periodically distribute royalties for, the book "Uncovering the Dome," written by Amy Klobuchar. The royalty rate is 15% per copy for college and Amazon sales.
2	Feb 2015	Henry Holt and Company, LLC (Publisher) and N. S. Bienstock, Inc. (Author's Agent) New York, NY	Royalty Agreement	Publishing agreement with Henry Holt and Company, LLC (Henry Holt) to receive book royalties consistent with usual and customary publishing terms. In August 2015 Henry Holt published "The Senator Next Door: A Memoir from the Heartland" by Amy Klobuchar. The payment/book royalties were reported in the 2015 annual report. The University of Minnesota Press has acquired certain paperback rights to this book.

## 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

### Attachments

Document Title	Date/Time Added
<a href="#"><u>2016 Report_Amy Klobuchar Supplement to Report (MD Optional Retirement Plan Contributions).pdf</u></a>	05/08/2017 @ 1:29 AM
<a href="#"><u>2016 Report_Amy Klobuchar Supplement to Report (Northwestern Mutual Variable Life Insurance Contributions).pdf</u></a>	05/08/2017 @ 1:29 AM
<a href="#"><u>2016 Report_Amy Klobuchar Supplement to Report (Spouse 457(B) Plan Contributions).pdf</u></a>	05/08/2017 @ 1:28 AM
<a href="#"><u>2016 Report_Amy Klobuchar Supplement to Report (Spouse 401(k) Plan Contributions).pdf</u></a>	05/08/2017 @ 1:28 AM
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*No comments added.*

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