

# Financial Disclosures

## Annual Report for Calendar 2016

**The Honorable Heidi Heitkamp (Heitkamp, Heidi)**

Filed 05/15/2017 @ 8:41 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	Sanford Health Bismarck, ND	> \$1,000

### 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</u>	
					<u>Type</u>	<u>Income</u>
1	JP MORGAN GEN MUNI E*TRADE CL	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2	<b><u>ADSK</u> - Autodesk, Inc. (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
3	<b><u>BRK-B</u> - Berkshire Hathaway Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
4	<b><u>BA</u> - The Boeing Company (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5	<b><u>ESRX</u> - Express Scripts Holding Company (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6	<b><u>GSK</u> - GlaxoSmithKline plc (NYSE)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
7	<b><u>HOG</u> - Harley-Davidson, Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
8	<b><u>HPQ</u> - Hewlett-Packard Company (NYSE)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9	<b><u>INTC</u> - Intel Corporation (NASDAQ)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
10	<b><u>IBM</u> - International Business Machines Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
11	<b><u>JPM</u> - JPMorgan Chase &amp; Co. (NYSE)</b>	Corporate Securities Stock	Joint	\$100,001 - - \$250,000	Dividends,	\$1,001 - \$2,500
12	<b><u>MAT</u> - Mattel, Inc. (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
13	<b><u>MDU</u> - MDU Resources Group Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
14	<b><u>MRK</u> - Merck &amp; Co. Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
15	<b><u>NUAN</u> - Nuance Communications, Inc. (NASDAQ)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
16	<b><u>ORCL</u> - Oracle Corporation (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
17	<b><u>PFE</u> - Pfizer Inc. (NYSE)</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
18	<b><u>AAPL</u> - Apple Inc. (NASDAQ)</b>	Corporate Securities Stock	Joint	\$250,001 - - \$500,000	Dividends,	\$5,001 - \$15,000
19	<b><u>SCINX</u> - DWS International S (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Dividends, Excepted Investment Fund,	None (or less than \$201)
20	<b><u>SGSCX</u> - DWS Global Small Cap Growth S (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - - \$250,000	Dividends, Excepted Investment Fund,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
21	<b><u>JAENX</u> - Janus Enterprise T (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
22	<b><u>JANSX</u> - Janus T (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
23	<b><u>JORNX</u> - Janus Global Select T (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
24	<b><u>JAVLX</u> - Janus Twenty T (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
25	<b><u>VGEXX</u> - Vanguard Energy Inv (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Dividends, Excepted Investment Fund,	\$1,001 - \$2,500
26	<b><u>VGHCX</u> - Vanguard Health Care Inv (NASDAQ)</b>	Mutual Funds Mutual Fund	Joint	\$250,001 - \$500,000	Dividends, Capital Gains, Excepted Investment Fund,	\$2,501 - \$5,000
27	<b>US Treasury Bond 20 year inflation</b> <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Joint	\$50,001 - \$100,000	Interest,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
28	<b><u>GOOG</u> - Google Inc. (NASDAQ)</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
29	<b><u>GOOGL</u> - Google Inc. (NASDAQ)</b>	Corporate Securities Stock	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
30	<b><u>AMAT</u> - Applied Materials, Inc. (NASDAQ)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
31	<b><u>BRK-A</u> - Berkshire Hathaway Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
32	<b><u>BRK-B</u> - Berkshire Hathaway Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
33	<b><u>ETFC</u> - E*TRADE Financial Corporation (NASDAQ)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
34	<b><u>EEM</u> - iShares MSCI Emerging Markets</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
35	<b><u>MDU</u> - MDU Resources Group Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
36	<b><u>OTTR</u> - Otter Tail Corporation (NASDAQ)</b>	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$2,501 - \$5,000
37	<b><u>SVU</u> - SUPERVALU Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
38	<b><u>VWO</u> - Vanguard Emerging Markets Stock Idx ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
39	<b><u>WMT</u> - Wal-Mart Stores Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
40	<b>E*Trade Sweep Deposit Account</b>	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends, Interest,	None (or less than \$201)
41	<b><u>HFRGX</u> - Highland Floating Rate Opportunities C (NASDAQ)</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
42	<b>US Treasury Bond 20 year inflation</b> <i>Rate/Coupon:</i> <i>Matures:</i>	Government Securities US Treasury/Agency Security	Self	\$50,001 - \$100,000	Interest,	\$1,001 - \$2,500
43	<b>JPMORGAN GEN MUNI E*TRADE CL (SEP)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
44	<b><u>BRK-B</u> - Berkshire Hathaway Inc. (NYSE)</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	None,	None (or less than \$201)

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
45	<b><u>BP</u> - BP plc (NYSE)</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
46	<b><u>CAR</u> - Avis Budget Group, Inc. (NASDAQ)</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
47	<b><u>MDT</u> - Medtronic, Inc. (NYSE)</b>	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
48	<b><u>BPTRX</u> - Baron Partners Retail (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	None, Excepted Investment Fund,	None (or less than \$201)
49	<b><u>BSCFX</u> - Baron Small Cap Retail (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Excepted Investment Fund,	\$5,001 - \$15,000
50	<b>E*trade Joint Checking with Daughter</b> (New York City, NY) Type: Checking,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
51	<b>JPMORGAN GEN MUNI E*TRADE CL</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
52	<b>E*Trade</b> (New York City , NY) Type: Money Market Account,	Bank Deposit	Joint	None (or less than \$1,001)	Interest,	None (or less than \$201)

<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
53 <b>E*Trade</b> (New York City, NY) Type: Savings,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
54 <b>FCNTX - Fidelity Contrafund (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Dividends, Excepted Investment Fund,	\$5,001 - \$15,000
55 <b>FSDCX - Fidelity Select Comms Equip Port (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$50,001 - \$100,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
56 <b>FDCPX - Fidelity Select Computers Portfolio (NASDAQ)</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Dividends, Excepted Investment Fund,	\$5,001 - \$15,000
57 <b>Wells Fargo</b> (Bismarck, ND) Type: Checking,	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
58 <b>EE BOND / SON</b> Rate/Coupon: 4% Matures: 01/01/19	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
59 <b>EE BOND / SON</b> Rate/Coupon: 4% Matures: 01/01/19	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
60 <b>EE BOND / SON</b> Rate/Coupon: 4% Matures: 01/01/2020	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)



<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
61 <b>EE BOND / DAUGHTER</b> <i>Rate/Coupon: 4%</i> <i>Matures: 01/01/2020</i>	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
62 <b>EE BOND / DAUGHTER</b> <i>Rate/Coupon: 4%</i> <i>Matures: 01/01/2020</i>	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
63 <b>EE BOND / DAUGHTER</b> <i>Rate/Coupon: 4%</i> <i>Matures: 01/01/2020</i>	Government Securities US Treasury/Agency Security	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
64 <b>SERIES I SAVINGS BOND</b> <i>Rate/Coupon: 1.48%</i> <i>Matures: 04/01/2040</i>	Government Securities US Treasury/Agency Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
65 <b>Whole Life Insurance Policy</b> <i>Provider: Reliastar Life Insurance, Chicago IL</i>	Life Insurance Whole	Self	\$50,001 - \$100,000	None,	None (or less than \$201)
66 <b>2 Mineral Acres in Williams County</b> <i>Description: 2 acres (Williams County, ND)</i>	Real Estate Mineral Rights	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
67 <b>Co Ownership of 1/4 of land in Stutsman County ND</b> <i>Description: unimproved Land (Stutsman County, ND)</i>	Real Estate Unimproved Land	Spouse	\$15,001 - \$50,000	None,	None (or less than \$201)
68 <b>LTASX - Principal LifeTime 2015 R2 (NASDAQ)</b>	Corporate Securities Stock	Spouse	\$250,001 - \$500,000	None,	None (or less than \$201)

<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
69 <b><u>PTBAX</u> - Principal LifeTime 2020 A (NASDAQ)</b>	Corporate Securities Stock	Spouse	\$100,001 - \$250,000	None,	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? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comment
1	Joint	<u>VGHCX</u>	Vanguard Health Care Inv	Purchase	03/17/2016	\$1,001 - \$15,000	--
2	Joint	<u>JAVLX</u>	Janus Twenty T	Purchase	12/20/2016	\$1,001 - \$15,000	--
3	Joint	<u>JANSX</u>	Janus T	Purchase	12/20/2016	\$1,001 - \$15,000	--
4	Joint	<u>SGSCX</u>	Deutsche Global Small Cap S	Purchase	12/02/2016	\$1,001 - \$15,000	--
5	Joint	<u>VGHCX</u>	Vanguard Health Care Inv	Purchase	12/27/2016	\$15,001 - \$50,000	--
6	Joint	<u>VGEXX</u>	Vanguard Energy Inv	Purchase	12/27/2016	\$1,001 - \$15,000	--
7	Spouse	<u>BSCFX</u>	Baron Small Cap Retail	Purchase	11/30/2016	\$15,001 - \$50,000	--

#### 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**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2013	Self	Mortgage	.75	2.625% (15 Years)	\$500,001 - \$1,000,000	Wells Fargo Bismarck, ND	-

### 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? **No**

### 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.*

#### Comments

I no longer own shares of the Asset ALU due to a merger I no longer own shared of the asset HMIN because the went private and delisted their stock I no longer own shares in Ishares NYSE Composite ETF because they delisted their stocks