

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Maria Cantwell (Cantwell, Maria)

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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? **No**

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**

	Asset	Asset Type	Owner	Value	Income	
					Type	Income
1	<u>RNWK</u> - RealNetworks Inc. (NASDAQ)	Corporate Securities Stock	Self	\$100,001 - \$250,000	Capital Gains,	\$2,501 - \$5,000
2	US Bank (St Paul, MN) Type: Checking,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
3	Cantwell 2000 Campaign Loan Company: Cantwell 2000 Campaign (Seattle, WA) Filer comment: Loan to Senate Campaign	Accounts Receivable From a Business	Self	\$1,000,001 - \$5,000,000	None,	None (or less than \$201)

eFD: Home

URL: https://efdsearch.senate.gov/search/home/

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4	RealNetworks - 401(k) Retirement	Retirement Plans Defined Contribution Pension Plan	Self			
4.1	<u>BIGIX</u> - William Blair International Growth I (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.2	Vanguard Retirement Savings Trust <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.3	VWNFX-Vanguard Windsor II Inv (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
4.4	<u>MSSMX</u> - Morgan Stanley Inst Small Co Gr A (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement. RealNetworks, Inc. 401(k) Plan initiated transfer of MSSMX Small Co Growth Portfolio Class A fund for Conestoga Small Cap Fund.</i>	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	Excepted Investment Fund,	\$201 - \$1,000
4.5	<u>AVPAX</u> - American Beacon Small Cp Val Inv (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500
4.6	<u>VBMFX</u> - Vanguard Total Bond Market Index Inv (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.7	<u>DODFX</u> - Dodge & Cox International Stock (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.8	<u>HACAX</u> - Harbor Capital Appreciation Instl (NASDAQ) <i>Filer comment: RealNetworks 401(k) Retirement</i>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$1,001 - \$2,500

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income</u>	
					<u>Type</u>	<u>Income</u>
4.9	CCASX - Conestoga Small Cap Investors <i>Filer comment: RealNetworks, Inc. 401(k) Plan initiated transfer of MSSMX Small Co Growth Portfolio Class A fund for Conestoga Small Cap Fund on September 1, 2016.</i>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
5	FCOXX - Fidelity Institutional Money Market Fund (NASDAQ) <i>Filer comment: Money Market Fund</i>	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	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**

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	04/28/2016	Self	RNWK	RealNetworks Inc.	Sale (Partial)	\$1,001 - \$15,000	Sale of two blocks

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	Self	<u>CCASX</u>	Conestoga Small Cap Investors	Purchase	09/01/2016	\$1,001 - \$15,000	Asset held in RealNetworks, Inc 401(k) account. Exchanged for MSSMX.
2	Self	<u>MSSMX</u>	Morgan Stanley Inst Small Co Gr A	Sale (Full)	09/01/2016	\$1,001 - \$15,000	Assets held in RealNetworks, Inc. 401(k) plan account - exchange for CCASX.

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**

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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	Amount	Creditor	Comments
					(Term)			
1	2009	Self	Mortgage	0	5.375% (30)	\$250,001 - \$500,000	US Bank St Paul, MN	DC personal residence
2	2003	Self	Home Equity Line of Credit	-	2.75% (15)	\$50,001 - \$100,000	US Bank St Paul, MN	Wash. DC personal residence (Rate is Prime-1.0%)
3	2006	Self	Home Equity Line of Credit	-	4.50% (25)	\$15,001 - \$50,000	US Bank St Paul, MN	WA personal residence (Rate is Prime+0.75%)
4	2010	Self	Revolving Charge	-	10.49% (on demand)	\$15,001 - \$50,000	US Bank St Paul, MN	Credit Card

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	Type	Status and Terms
		Involved		
1	Jan 1997	RealNetworks, Inc. Seattle, WA	Continuing participation in an employee benefit plan	401(k) assets are in an account maintained by a former employer (Real Networks, Inc.). All assets are 100% vested. No contributions may be made by the former employer.

Part 10. Compensation

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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? No

Attachments & Comments

No attachments added.

No comments added.

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