



Filing ID #10018832

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Joe Sullivan
Status: Congressional Candidate
State/District: MN01

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2017
Filing Date: 09/4/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
401a Thrift-Mutual of America 13-1 ⇒ American Century VP Capital Appreciation Fund		\$1,001 - \$15,000	Employer Retirement Contribution	\$2,501 - \$5,000	\$2,501 - \$5,000
401a Thrift-Mutual of America 13-1 ⇒ American Century VP Capital Appreciation Fund		\$15,001 - \$50,000	None		
401a Thrift-Mutual of America 13-1 ⇒ Mutual of America Mid-Cap Equity Index Fund		\$15,001 - \$50,000	None		
401a Thrift-Mutual of America 13-1 ⇒ Mutual of America Mid-Cap Equity Index Fund		\$1,001 - \$15,000	Employer Retirement Contribution	\$2,501 - \$5,000	\$2,501 - \$5,000
90 Life-Northwestern Mutual xxxx9268		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Whole Life Insurance Policy					
90 Life-Northwestern Mutual xxxx9273	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Northwestern Mutual Whole Life Insurance Policy					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
E*Trade Brokerage-Cash Account ⇒ Apple Inc. (AAPL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
E*Trade Brokerage-Cash Account ⇒ Berkshire Hathaway Inc. New (BRK.B)		\$1,001 - \$15,000	None		
E*Trade Brokerage-Cash Account ⇒ Freeport-McMoRan, Inc. (FCX)		\$1,001 - \$15,000	None		
E*Trade Brokerage-Cash Account ⇒ General Electric Company (GE)		\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200
E*Trade Brokerage-Cash Account ⇒ Gilead Sciences, Inc. (GILD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Fidelity Advisor Freedom 2025 Fund - Class C (1304)	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
JP Morgan Chase-Total Checking-....3762 DESCRIPTION: Personal joint bank account	JT	\$15,001 - \$50,000	None		
Mankato Clinic Ltd. 401k ⇒ AGRDX American Century Growth R6	SP	\$15,001 - \$50,000	None		
Mankato Clinic Ltd. 401k ⇒ ARTMX Artisan Mid Cap Investor	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ BCSIX Brown Capital Mgmt Small Co Inv	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ BIGIX William Blair International Growth I	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ DODGX Dodge & Cox Stock	SP	\$15,001 - \$50,000	None		
Mankato Clinic Ltd. 401k ⇒ FLMVX JPMorgan Mid Cap Value L	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ HAINX Harbor International Institutional	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒	SP	\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
MCOAX MainStay Convertible A					
Mankato Clinic Ltd. 401k ⇒ OSMYX Oppenheimer International Small-Mid Co Y	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ PHYDX PIMCO High Yield D	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ PTTDX PIMCO Total Return D	SP	\$15,001 - \$50,000	None		
Mankato Clinic Ltd. 401k ⇒ RYPNX Royce Opportunity Invmt	SP	\$1,001 - \$15,000	None		
Mankato Clinic Ltd. 401k ⇒ WELLS FARGO STABLE VALUE FD CL C	SP	\$15,001 - \$50,000	None		
Northwestern Mutual xxxx4642 ⇒ FCTWX FIDELITY ADV FREEDOM 2025-CL C	JT	\$1,001 - \$15,000	None		
Northwestern Mutual xxxx4642 ⇒ GMMB GENERAL MONEY MARKET FUND CLASS B	JT	\$1 - \$1,000	None		
Northwestern Mutual-3115 ⇒ ABMIX AMG MANAGERS FAIRPOINTE MID CAP FUND CLASS I		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ BCSSX BROWN CAPITAL MANAGEMENT SMALL COMPANY FUND INSTITUTI		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ BND VANGUARD BD INDEX FD INC TOTAL BND MRKT		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ CSDIX COHEN & STEERS REALTY INCOME FUND INSTITUTIONAL CL		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ EZU ISHARES MSCI EURZONE ETF		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ FEPIX FIDELITY ADV TOTAL BOND		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Northwestern Mutual-3115 ⇒ FMIYX FMI FDS INC INTL FD INSTL		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ GMMB GENERAL MONEY MARKET FUND CLASS B		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ IJH ISHARES TR CORE S&P MCP ETF		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ IVV ISHARES TR CORE S&P500 ETF		\$15,001 - \$50,000	None		
Northwestern Mutual-3115 ⇒ NFFFX NEW WORLD FUND-F2		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ OAKEX THE OAKMARK INTERNATIONAL SMALL-CAP FUND		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ OAKLX OAKMARK SELECT I		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ PONPX INCOME FUND CLASS P		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ SCHF SCHWAB STRATEGIC TR INTL EQTY ETF		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ SKIRX DEUTSCHE ENHANCED COMDTY STRAT INST		\$1,001 - \$15,000	None		
Northwestern Mutual-3115 ⇒ VWO VANGUARD INTL EQUITY INDEX F FTSE EMR MKT ETF		\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ ABMIX AMG MANAGERS FAIRPOINTE MID CAP FUND CLASS I	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ BCSSX BROWN CAPITAL MANAGEMENT SMALL COMPANY FUND INSTITUTIONAL CLASS	SP	\$1 - \$1,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Northwestern Mutual-8843 ⇒ BND VANGUARD BD INDEX FD INC TOTAL BND MRKT	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ CSDIX COHEN & STEERS REALTY INCOME FUND INSTITUTIONAL CL	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ EZU ISHARES MSCI EURZONE ETF	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ FEPIX FIDELITY ADV TOTAL BOND	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ FMIYX FMI FDS INC INTL FD INSTL	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ GMMB GENERAL MONEY MARKET FUND CLASS B	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ IJH ISHARES TR CORE S&P MCP ETF	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ IVV ISHARES TR CORE S&P500 ETF	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ NFFFX NEW WORLD FUND-F2	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ OAKEX THE OAKMARK INTERNATIONAL SMALL-CAP FUND	SP	\$1 - \$1,000	None		
Northwestern Mutual-8843 ⇒ OAKLX OAKMARK SELECT I	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ PONPX INCOME FUND CLASS P	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ SCHF SCHWAB STRATEGIC TR INTL EQTY ETF	SP	\$1,001 - \$15,000	None		
Northwestern Mutual-8843 ⇒ SKIRX DEUTSCHE ENHANCED COMDTY STRAT INST	SP	\$1 - \$1,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Northwestern Mutual-8843 ⇒ VWO VANGUARD INTL EQUITY INDEX F FTSE EMR MKT ETF	SP	\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ ABMIX AMG MANAGERS FAIRPOINTE MID CAP FUND CLASS I		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ BCSSX BROWN CAPITAL MANAGEMENT SMALL COMPANY FUND INSTITUTIONAL CLASS		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ BND VANGUARD BD INDEX FD INC TOTAL BND MRKT		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ CSDIX COHEN & STEERS REALTY INCOME FUND INSTITUTIONAL CL		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ EZU ISHARES MSCI EURZONE ETF		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ FEPIX FIDELITY ADV TOTAL BOND		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ FMIYX FMI FDS INC INTL FD INSTL		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ GMMB GENERAL MONEY MARKET FUND CLASS B		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ IJH ISHARES TR CORE S&P MCP ETF		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ IVV ISHARES TR CORE S&P500 ETF		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ NFFFX NEW WORLD FUND-F2		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ OAKEX THE OAKMARK INTERNATIONAL SMALL-CAP FUND		\$1 - \$1,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ OAKLX OAKMARK SELECT I		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ PONPX INCOME FUND CLASS P		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ SCHF SCHWAB STRATEGIC TR INTL EQTY ETF		\$1,001 - \$15,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ SKIRX DEUTSCHE ENHANCED COMDTY STRAT INST		\$1 - \$1,000	None		
Roth IRA-Northwestern Mutual-xxxx4945 ⇒ VWO VANGUARD INTL EQUITY INDEX F FTSE EMR MKT ETF		\$1 - \$1,000	None		
UTMA-Fidelity Advisor-xxxx 1103 ⇒ FCASX FIDELITY ADV ASSET MANAGER 70%-CL C	DC	\$15,001 - \$50,000	None		
UTMA-Fidelity Advisor-xxxx 1137 ⇒ FEYCX FIDELITY ADVISOR ASSET MANAGER 85% FUND CLASS C	DC	\$15,001 - \$50,000	None		

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
The Center for Energy & Environment	Salary	\$55,302.20	\$85,133.00
Mankato Clinic Ltd.	Spouses Salary	N/A	N/A

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	American Express	Various	Credit Card	\$10,000 - \$15,000
JT	Bremer Bank	6/1/2015	Home Mortgage	\$250,001 - \$500,000

Owner	Creditor	Date Incurred	Type	Amount of Liability
SP	Seterus	8/1/2004	Mortgage on 2nd Home	\$100,001 - \$250,000
SP	Navient	10/1/2004	Education Loan for Medical School	\$100,001 - \$250,000
JT	Bremer Bank	6/1/2015	Home Equity Line of Credit	\$15,001 - \$50,000
JT	Bremer Bank	6/1/2015	Home Equity Line of Credit	\$15,001 - \$50,000
JT	Bremer Bank	6/1/2015	Line of Credit	\$50,001 - \$100,000
	Chase Auto	2/1/2017	Auto Loan	\$15,001 - \$50,000
	Nelnet	11/1/2004	Educational Loan for Law School	\$15,001 - \$50,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Manager of Strategic Relations	The Center for Energy and Environment

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

<ul style="list-style-type: none">401a Thrift-Mutual of America 13-1E*Trade Brokerage-Cash Account LOCATION: Mankato, MN, USMankato Clinic Ltd. 401k (Owner: SP)Northwestern Mutual xxxx4642 (Owner: JT) LOCATION: Mankato, MN, USNorthwestern Mutual-3115Northwestern Mutual-8843 (Owner: SP)Roth IRA-Northwestern Mutual-xxxx4945UTMA-Fidelity Advisor-xxxx 1103 (Owner: DC) LOCATION: Mankato, MN, USUTMA-Fidelity Advisor-xxxx 1137 (Owner: DC) LOCATION: Mankato, MN, US

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Joe Sullivan , 09/4/2017