

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Rossiter, Jr., Robert F.	2. Court or Organization United States District Court, Nebraska	3. Date of Report 04/04/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address U.S. District Court, Nebraska 111 S. 18th Plana, Suite 3141 Omaha, NE 68102		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. District Representative/Executive Council	Nebraska State Bar Association
2. Member - House of Delegates	Nebraska State Bar Association
3. Advisory Board Member	Creighton University School of Law
4. Trustee	Mary Jane Rossiter Rev Trust Robert Rossiter TTEE (no reportable assets)
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 12/2015	Fraser Stryker PC LLO - Deferred Compensation Agreement
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Fraser Stryker Deferred Compensation	\$66,666.72
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Fitzgerald Schorr Barnettler & Brenman, PC LLO employment compensation
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	Mass Mutual	Life Insurance Loan	L
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. SSAM Rollover IRA (H)									
2. BHK - BlackRock Core Bond Trust	A	Dividend			Redeemed	01/25/17	J	A	
3. BND - Vanguard Total Bond Market	D	Dividend	M	T	Buy (add'l)	01/25/17	J		
4. BSV - Vanguard Short-Term Bond	C	Dividend	M	T					
5. DFAPX - DFA Inv't Grade	C	Dividend	M	T					
6. DFEQX - DFA US Core Equity I	D	Dividend	N	T					
7. DFGEX - DFA Global Real Estate Secs	B	Dividend	L	T					
8. DFIEX - DFA Intl Core Equity	C	Dividend	M	T					
9. DFSVX - DFA US Small Cap Value	D	Dividend	M	T					
10. KMI - Kinder Morgan Inc		None			Redeemed	01/25/17	J	A	
11. SCZ - iShares MSCI EAFE Small Cap Index	B	Dividend	L	T					
12. VEA - Vanguard FTSE Developed Markets	C	Dividend	M	T					
13. VOE - Vanguard MidCap Value Index	C	Dividend	M	T					
14. VWO - Vanguard FTSE Emerging Markets	B	Dividend	L	T					
15. FDIC Insured Deposit Account IDA12 (TDA Money Market)		None	K	T					
16. Raymond James Joint (H)									
17. DBLTX - Doubleline Total Return Bond Fund		None			Redeemed	01/17/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. FIHBY - Federated Institutional High Yield Bnd	A	Dividend	J	T					
19. PSYPX - Palmer Square Income Plus Fund	A	Dividend	J	T					
20. JPIEX - JP Morgan US Research Equity Fund L	A	Dividend			Redeemed	01/17/17	J	A	
21. JDESX - JP Morgan US Research Equity Fund I	A	Dividend	J	T	Redeemed (part)	07/19/17	J	A	
22. LZIEY - Lazard International Equit Portfolio	A	Dividend	J	T	Redeemed (part)	07/19/17	J	A	
23. LFRFX - Lord Abbett Floating Rate Fund Class F	A	Dividend	J	T	Buy	01/17/17	J		
24. MEIIX - MFS Value Fund Class I	A	Dividend	J	T	Buy	01/17/17	J		
25.					Redeemed (part)	07/19/17	J	A	
26. RAIIX - Manning & Napier Rainier International Discovery	A	Dividend	J	T					
27. ODVYX - Oppenheimer Developing Markets Fund Y	A	Dividend	J	T					
28. PSMIX - Principal Global Multi Strategy Fund N	A	Dividend	J	T					
29. PURZX - Prudential Global Real Estate Fund	A	Dividend	J	T	Redeemed (part)	07/19/17	J	A	
30. TRBCX - T. Rowe Price Blue Chip Growth Fund	A	Dividend	J	T	Redeemed (part)	01/17/17	J	A	
31.					Redeemed (part)	07/19/17	J	A	
32. TRMCX - T. Rowe Price Mid-Cap Value Fund	A	Dividend	J	T					
33. FOGPX - Tributary Growth Opportunities Fund	A	Dividend	J	T	Redeemed (part)	01/17/17	J	A	
34.					Redeemed (part)	07/19/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. FOSBX - Tributary Small Company Fund Inst Plus	A	Dividend	J	T	Redeemed (part)	01/17/17	J	A	
36. FONPX - Tributary Nebraska Tax-Free Fund Instl Plus	B	Dividend	L	T	Redeemed (part)	01/17/17	J	A	
37. VEIRX - Vanguard Equity Income Fund Admiral Shares	A	Dividend	J	T	Redeemed (part)	01/17/17	J	A	
38.					Redeemed (part)	07/19/17	J	A	
39. Mary Rossiter Fitzgerald Schorr 401k (H)									
40. VTTVX - Vanguard Target Retirement 2025 Fund	B	Dividend	L	T					
41. FNB Joint Savings #2920 (H)									
42. Cash	A	Interest	M	T					
43. U.S. Bank Joint Savings #8460 (H)									
44. Cash	A	Interest	M	T					
45. Wells Fargo BIRA (H)									
46. BLPCX - American Funds Portfolio Balanced Fund C	A	Dividend	J	T					
47. FCISX - Franklin Income Fund C	A	Dividend	J	T					
48. CUSIP 94986TGSW1 - Wells Fargo 7yr Due 06/07/18	A	Interest	J	T					
49. Cash	A	Interest	J	T					
50. Mass Mutual Life Insurance (H)									
51. Cash Value	B	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

52. UBS JTWROS (H)									
53. SBPLX - Clearbridge Dividend Strategy Fund	A	Dividend	K	T					
54. MSFRX - MFS Total Return Fund	A	Dividend	J	T					
55.									
56.									
57.									
58.									
59.									
60.									
61.									
62.									
63.									
64.									
65.									
66.									
67.									
68.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Although I am a trustee of the [REDACTED] [REDACTED] Rev Trust [REDACTED] [REDACTED] TTEE, there are no reportable assets in the trust. The trust held about \$3,100.00 during 2017, which was distributed in late December. That was the last of it.

Amendment (8/9/18):

Part VII. Lines 52-54 were inadvertently omitted from the original Disclosure (was reported on 2016 Disclosure)

Amendment (04/04/19):

Part VII. Line 15 was updated from "Money Market Cash" to "FDIC Insured Deposit Account IDA12"

Part VII. Line 21. In 2016, I owned JPIEX JP Morgan Disciplined Equity Fund Class L which was disclosed on Line 96 of the 2016 amended return. A portion of my holding was converted from Class L to Class I shares in 2017. There was also a name change to the fund. The new product is JDESX - JP Morgan US Research Equity Fund L.

Part VII. Line 23. Purchase information added for LFRFX - Lord Abbett Floating Rate Fund

Part VII. Line 24. Purchase information added for MEIIX - MFS Value Fund Class I

Part VII. Line 28. In 2016, I owned PMSPX - Principal Global Multi Strategy Fund P which was disclosed on Line 120 of the 2016 amended return. My holding was converted from Class P to Class N shares in 2017. The new product is PSMIX - Principal Global Multi Strategy Fund N.

FINANCIAL DISCLOSURE REPORT

Page 9 of 9

Name of Person Reporting

Rossiter, Jr., Robert F.

Date of Report

04/04/2019

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Robert F. Rossiter, Jr.**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544