

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) BENNETT, MARK W.	2. Court or Organization USDC/Northern District of Iowa	3. Date of Report 5/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge	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 313 United States Courthouse 320 Sixth Street Sioux City, IA 51101		
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.		
2.		
3.		
4.		
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.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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	Wolters Kluwer	\$588.15
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.	
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.	AALS	1.3-1.7	San Francisco, CA	Annual AALS Meeting	airfare, lodging, meals
2.	Massachusetts Bar	3.21-3.23	Boston, MA	Massachusetts Bar Program	airfare, lodging, meals
3.	Rhode Island Courts	3.23-3.24	Providence, RI	District Court Conference	airfare, lodging, meals
4.	UNC School of Government	4.20-4.22	Asheville, NC	Implicit Bias Training	airfare, lodging, meals
5.	District Attorneys Office -- Middlesex	5.16-5.16	Boston, MA	Implicit Bias Training	airfare, lodging, meals
6.	Federal Public Defender	5.16-5.18	Hartford, CO	Division for Public Defender Services Training	airfare, lodging, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

7.	Minnesota Continuing Legal Education	5.21.-5.22	St. Paul, MN	Upper Midwest Employment Law Institute	mileage, lodging, meals
8.	Federal Public Defender	5.23-5.26	Salt Lake City, UT	American College of Trial Lawyers CLE	airfare, lodging, meals
9.	Maine Justice Foundation	10.17-10.19	Portland, MN	Sidney Wernick Lecture	airfare, lodging, meals
10.	University of Toledo Law School	9/10.24-10.27	Toledo, OH	Lecture Series	airfare, lodging, meals
11.	Administrative Office	11.2-11.4	East St. Louis, IL	CJA Panel Training	airfare, lodging, meals
12.	Administrative Office	11.6-11.9	Albuquerque/Las Cruces, NM	Implicit Bias Training	airfare, lodging, meals
13.	IAJ	11.10	Des Moines, IA	IAJ Annual Convention	mileage, meals
14.	Minnesota State Courts	12.5-12.7	Bloomington, MN	2017 Annual Conference of Judges	mileage, lodging, meals

FINANCIAL DISCLOSURE REPORT

Page 4 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 5 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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. Non-IRA (Fidelity)									
2. ANTX		None	J	T					
3. Berkshire Hathaway		None	J	T					
4. Compass BK Birmingham		None	K	T	Buy	08/16/17	K		
5. First Eagle Global Class C *		None							
6. Hennessey Focus Fund**		None							
7. Surebeam Corp.		None	J	T					
8. Vanguard Index FDS formerly Vanguard Growth ETF (VUG) ***		None							
9.									
10. Rollover IRA (Fidelity)									
11. Apple, Inc.	A	Dividend			Sold (part)	02/23/17	J	C	
12.					Sold (part)	03/17/17	J	B	
13.					Sold (part)	06/13/17	J	B	
14.					Sold	07/28/17	J	A	
15. Chipolte ****		None			Sold (part)	03/31/17	J	C	
16.					Sold (part)	04/18/17	J	B	
17.					Sold (part)	04/24/17	J	B	

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 16

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	(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.					Buy (add'l)	09/22/17	J		
19.					Buy (add'l)	11/21/17	J		
20.					Sold (part)	12/04/17	J	C	
21. Fidelity Cash Reserves		None	K	T					
22. Fidelity Contra Fund		None	K	T	Buy	06/13/17	J		
23.					Buy (add'l)	06/19/17	J		
24.					Buy (add'l)	07/13/17	J		
25.					Buy (add'l)	07/25/17	J		
26.					Sold (part)	12/08/17	J	C	
27. First Eagle Global Class C		None	J	T					
28. Ishares Russell 1000	A	Dividend	J	T	Buy	04/26/17	J		
29. Ishares Trust Ishares Core High Dividend *****		None			Sold	04/27/17	J	C	
30. Ishares Tr US Regnl	A	Dividend			Sold (part)	11/22/17	J	C	
31.					Sold	11/30/17	J	C	
32. Kraneshares TR CSI China Internet	A	Dividend	J	T	Buy	08/30/17	J		
33.					Buy (add'l)	11/21/17	J		
34. Matthews China Fund	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 16

Name of Person Reporting

BENNETT, MARK W.

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5/15/2018

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35. Matthews Pacific Tiger Fund	A	Dividend	J	T	Sold (part)	04/05/17	J	C	
36.					Sold (part)	04/18/17	J	C	
37. Oppenheimer Int'l	A	Dividend	J	T					
38. Powershares SPHD - ETF	A	Dividend	J	T	Sold (part)	09/08/17	J	D	
39. Proshares Trust Decline Retail Store		None	J	T	Buy	11/30/17	J		
40.					Buy (add'l)	12/04/17	J		
41.					Buy (add'l)	12/12/17	J		
42. Schwab Strategic TR US	A	Dividend			Sold	07/28/17	J	D	
43. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T	Sold (part)	02/23/17	J	D	
44.					Sold (part)	04/18/17	J	D	
45. U S Silica Hldgs Inc	A	Dividend	J	T	Buy	03/24/17	J		
46.					Buy (add'l)	04/24/17	J		
47.					Buy (add'l)	05/02/17	J		
48.					Sold (part)	05/19/17	J	C	
49.					Buy (add'l)	07/25/17	J		
50.					Buy (add'l)	08/01/17	J		
51.					Buy (add'l)	08/15/17	J		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

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52.					Sold (part)	08/30/17	J	C	
53.					Sold (part)	09/06/17	J	C	
54.					Sold (part)	10/04/17	J	B	
55.					Sold (part)	10/04/17	J	B	
56. Vaneck Vectors ETF TR Vietnam ETF (VNM)	A	Dividend	J	T	Buy (add'l)	11/28/17	J		
57.					Buy (add'l)	11/28/17	J		
58. Vanguard Admiral FDS Inc S&P Midcap (IVOG)		None	J	T	Sold (part)	08/01/17	J	B	
59. Vanguard Admiral FDS Inc. S&P Small Cap (VIOO)	A	Dividend	J	T	Open	01/11/17	J		
60. Vanguard Health Care Investor	A	Dividend	J	T					
61. Vanguard S&P 500 Growth ETF	A	Dividend	K	T	Buy	02/09/17	J		
62. Wasatch Core Growth		None	J	T					
63. Weibo Corp.		None	J	T	Buy	07/28/17	J		
64.					Buy (add'l)	07/28/17	J		
65.									
66. Roth IRA (Fidelity)									
67. Apple, Inc.	A	Dividend	J	T	Sold (part)	03/28/17	J	B	
68. Ishares S&P 500	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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69. Powershares FD TR II (SPHD)	A	Dividend	J	T					
70. SPAXX	A	Dividend	K	T					
71. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T					
72. U S Silica Hldgs Inc. Com	A	Dividend	J	T	Buy	04/05/17	J		
73.					Sold (part)	11/10/17	J	B	
74. Vanguard Admiral FDS, Inc.	A	Dividend	J	T					
75. Vanguard Health Care Investor	A	Dividend	J	T					
76. Wasatch Core Growth		None	J	T					
77.									
78. Miscellaneous Holdings									
79. Iowa College Savings Account #		None	J	T					
80. Iowa College Savings Account		None	J	T					
81.									
82. CKG ACCT; Fidelity, Boston MA	A	Interest	L	T					
83. Wells Fargo Checking Account	A	Interest	J	T					
84. Iowa/Nebraska State Bank Checking Account	A	Interest	K	T					
85. REINSURANCE AGREEMT; 1st Colony Life Ins. Co.		None	N	W					

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FINANCIAL DISCLOSURE REPORT

Page 10 of 16

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86.									
87. IRA Fidelity									
88. Ally BK Midvale Utah CD		None	K	T	Buy	07/18/17	K		
89. American Century Mid Cap	A	Dividend	J	T					
90. Bank of China New York City BR CD 06426WNJ7		None	K	T	Buy	07/18/17	K		
91. Berkshire Hathaway Inc DEL CL B		None	K	T	Sold (part)	02/23/17	J	D	
92. BMW BK North Amer Salt Lake CD		None	K	T	Buy	07/18/17	K		
93. Comenity Cap BK Utah CD		None	K	T	Buy	07/24/17	K		
94. Compass BK Birmingham ALA CD		None	K	T	Buy	08/16/17	K		
95. Fidelity Cash Reserves	A	Dividend	K	T					
96. Fidelity Contrafund		None	K	T	Buy	04/27/17	J		
97.					Sold (part)	08/15/17	J	D	
98.					Buy (add'l)	10/23/17	K		
99. Fidelity Select Energy	A	Dividend	J	T					
100. Fidelity Select Heath Care		None	J	T	Buy	08/28/17	J		
101. Fidelity Select Pharmaceutical	A	Dividend			Sold	11/20/17	J	D	
102. Fidelity 500 Index	A	Dividend	J	T	Sold (part)	08/15/17	J	D	

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FINANCIAL DISCLOSURE REPORT

Page 11 of 16

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103. First Eagle Global Class I		None	J	T	Sold (part)	06/15/17	J	C	
104. First Eagle Global Class C		None			Sold (part)	06/13/17	M	D	
105.					Sold	10/02/17	J	D	
106. Ishares S&P 500 Growth	A	Dividend	J	T					
107. Ishares TR US Oil	A	Dividend	J	T					
108. Ishares TR US Regnal	A	Dividend	J	T	Sold (part)	05/15/17	M	D	
109.					Sold (part)	08/15/17	L	C	
110. IVA Worldwide Fund		None			Sold	10/02/17	J	D	
111. Kraneshares TR CSI China		None	J	T	Buy	11/21/17	J		
112.					Buy (add'l)	08/30/17	J		
113.					Buy (add'l)	11/21/17	J		
114. Matthews Asia Small Companies (MSMLX)	A	Dividend	J	T					
115. Matthews China Fund		None	J	T	Buy (add'l)	10/23/17	K		
116. Matthews Pacific Tiger Fund	A	Dividend	J	T					
117. Oppenheimer Int'l Sml Mid Co.	A	Dividend	K	T	Buy (add'l)	10/23/17	J		
118. Powershares FD TR II (SPHD)	A	Dividend	J	T	Sold (part)	02/23/17	J	D	
119.					Sold (part)	08/15/17	J	D	

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 P1 = \$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 12 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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)
120. Proshares Trust Ultrapro Short		None			Sold	04/27/17	J	C	
121. Robeco Boston Ptners		None			Sold (part)	07/27/17	J	D	
122.					Sold	11/20/17	K	D	
123. Schwab Strategic TR	A	Dividend			Sold	08/16/17	J	D	
124. Source Cap Inc Com	A	Dividend	J	T	Buy	08/25/17	J		
125. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T	Sold (part)	03/08/17	J	D	
126.					Sold (part)	05/15/17	M	C	
127.					Sold (part)	06/15/17	M	D	
128. Third Fed Svgs & Ln Assn of CD		None	K	T	Buy	07/25/17	K		
129. Thornburg Investment Income Builder	A	Dividend			Sold	04/27/17	J	D	
130. Vaneck Vectors ETF TR Africa Index		None			Sold	08/29/17	J	C	
131. Vaneck Vectors ETF TR India Small Cap		None	J	T	Buy	11/21/17	J		
132.					Buy (add'l)	11/21/17	J		
133. Vaneck Vectors ETF TR Vietnam		None	J	T	Buy	11/27/17	J		
134.					Buy (add'l)	08/29/17	K		
135.					Buy (add'l)	11/27/17	J		
136. Vanguard Admiral FDS Inc S&P Mid Cap 400 (IVOG) ##					Sold (part)	02/23/17	J	F	

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 13 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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)
137.					Sold (part)	03/08/17	M	D	
138.					Sold	08/28/17	J	D	
139. Vanguard Admiral FDS Inc S&P Small Cap 6 (VIOO)		None			Sold (part)	02/23/17	K	D	
140.					Sold	06/13/17	J	D	
141. Vanguard Dividend Growth Investor	A	Dividend	J	T	Sold (part)	03/08/17	K	D	
142. Vanguard Group Div App ETF ###	A	Dividend	J	T					
143. Vanguard High Dividend	A	Dividend	J	T					
144. Vanguard Inflation	A	Dividend	J	T					
145. Vanguard International Growth	A	Dividend	K	T					
146. Vanguard S&P 500	A	Dividend	K	T					
147. Vanguard Specialized Portfolios #####		None							
148. Vanguard Whitehall	A	Dividend	J	T					
149. Wasatch Core Growth		None	J	T					
150. Wasatch Emerging India Fund		None	J	T	Buy	07/27/17	J		
151.					Buy (add'l)	07/27/17	J		
152. Wasatch Frontier Emerging Small Co's #####		None							
153. Wasatch International Growth		None	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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 14 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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)
154.									

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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

* Line 5, First Eagle Global Class C. This was completely sold in 2016, but erroneously left on the report.

** Line 6, Hennessy Focus Fund. This was completely sold in 2016, but erroneously left on the report.

*** Line 8, Vanguard Index FDS. This was completely sold in 2016, but erroneously left on the report.

**** Line 15, Chipotle. This was erroneously reported as completely sold in 2016.

*****Line 29, Ishares Trust Ishares Core High Dividend. This was purchased in 2016, and erroneously left off the report

Lines 79 & 80, Iowa College Savings Plans. Both are Aggressive Growth, no control

Lines 136 & 139. In 2016, Vanguard Admiral should have been specified as (1) Vanguard Admiral FDS Inc S&P Small Cap (VIOO) and (2) Vanguard Admiral FDS Inc S&P Mid Cap (IVOG). IVOG was erroneously left off of the 2016 report.

Line 142, Vanguard Group Div App. This was purchased in 2015, but erroneously left off the last two reports.

Line 147, Vanguard Specialized Portfolios is a general term for many specific Vanguard investments - which are set out individually in this report.

Line 151, Wasatch Frontier Emerging Small Co's is a general term for many specific Wasatch investments -- which are set out individually in this report.

FINANCIAL DISCLOSURE REPORT

Page 16 of 16

Name of Person Reporting

BENNETT, MARK W.

Date of Report

5/15/2018

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/ MARK W. BENNETT

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
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