

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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 07/14/2015
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 01/01/2014 to 12/31/2014
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.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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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. 2014	Aspen Publishing	\$3,121.88
2. 2014	Drake University Law School	\$3,700.00
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. Drake University School of Law	2.16-2.18	Des Moines, IA	Co-teaching law class	mileage, lodging
2. Washington University Law School	2.19-2.20	St. Louis, MO	Presentation on Mass Incarceration	airfare, lodging, meals
3. American Bar Association	3.17-3.21	Los Cabos, Mexico	ERR Confernece	airfare, lodging, meals
4. State Bar of Texas	3.23-3.25	Austin, TX	State Bar of Texas Women in the Profession Comm Meeting	airfare, lodging, meals
5. Rutgers Univeristy School of Law	3.27.3.29	Newark, NJ	Mass Incarceration Law Review Symposium	airfare, lodging, meals

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6.	Drake University School of Law	3.30-3.31	Des Moines, IA	Co-teaching law class	mileage, lodging
7.	University of Illinois Law School	4.7-4.9	Champaign, IL	2014 Moot Court Honorary Round	airfare, lodging, meals
8.	Northeastern University School of Law	4.10-4.12	Boston, MA	Symposium to Honor Steve Subrin	airfare, lodging, meals
9.	University of Iowa	4.24-4.26	Iowa City, IA	University of Iowa College of Law Court Colloquium	mileage, lodging, meals
10.	South Dakota Trial Lawyers' Association	5.8.5.9	Larchwood, SD	CLE for South Dakota Trial Lawyers	mileage, lodging, meals
11.	Minnesota CLE	5.17-5.20	St. Paul, MN	Upper Midwest Employment Law Institute	airfare, lodging, meals
12.	Minnesota State Bar Association	6.9-6.10	Minneapolis, MN	Annual Labor and Employment Section Dinner	airfare, lodging, meals
13.	NACDL	6.12-6.14	St. Petersburg, FL	2014 Guidelines Seminar	airfare, lodging, meals
14.	EEOC	8.20-8.22	Chapel Hill, NC	EEOC EEO TAPS Program	airfare, lodging, meals
15.	FBA Memphis Chapter	10.16-10.17	Memphis, TN	FBA Chapter Annual Conference	airfare, lodging, meals
16.	American Bar Association	11.4-11.8	Los Angeles, CA	ABA Section of Labor and Employment Law's Annual Conference	airfare, lodging, meals

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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.			

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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	Buy (add'l)	07/30/14	J		
4. First Eagle Global Class C		None	J	T					
5. Hennessey Focus Fund		None	J	T					
6. Leucadia National Corp.	A	Dividend	J	T	Buy	06/30/14	J		
7. Surebeam Corp.		None	J	T					
8. Vanguard Index FDS	A	Dividend	J	T					
9.									
10. Rollover IRA (Fidelity)									
11. Apple, Inc.	A	Dividend	J	T	Sold (part)	08/05/14	J	C	
12. Berkshire Hathaway		None			Sold (part)	02/25/14	J	B	
13.					Sold	05/22/14	J	D	
14. Direxion SHS		None	J	T	Buy	12/19/14	J		
15. Fidelity Cash Reserves	A	Dividend	L	T					
16. First Eagle Global Class C		None	J	T	Sold (part)	08/11/14	J	C	
17. Iva Worldwide Fund	A	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	

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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. Leucadia National Corp.	A	Dividend			Buy	05/22/14	J		
19.					Buy (add'l)	07/01/14	J		
20.					Sold	08/05/14	J	C	
21. Oakmark International Small Cap	A	Dividend	J	T	Sold (part)	03/26/14	J	B	
22. Post Hlds Inc. Com		None	J	T	Buy	08/12/14	J		
23. SPDR SER TR & S&P	A	Dividend	J	T	Buy	07/01/14	J		
24. SLCA - US Silica Hlds Inc.	A	Dividend	J	T	Buy	08/05/14	J		
25.					Sold (part)	12/02/14	J	C	
26.					Buy (add'l)	12/11/14	J		
27. Wasatch International Growth		None			Sold	05/22/14	J	D	
28.									
29. Roth IRA (Fidelity)									
30. Apple, Inc.	A	Dividend	J	T					
31. Leucadia National Corp.	A	Dividend	J	T	Buy	05/27/14	J		
32. Wasatch International Growth		None			Sold	05/23/14	J	B	
33.									
34. Miscellaneous Holdings									

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	

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☐ 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. Iowa College Savings Account *		None	J	T			J		
36. Iowa College Savings Account *		None	J	T			J		
37. CKG ACCT; Fidelity, Boston MA	A	Interest	K	T					
38. Wells Fargo Checking Account	A	Interest	J	T					
39. Iowa/Nebraska State Bank Checking Account	A	Interest	J	T			J		
40. REINSURANCE AGREEMENT; 1st Colony Life Ins. Co.		None	N	W					
41.									
42. IRA Fidelity									
43. American Century Mid Cap	A	Dividend	J	T					
44. Baron Real Estate Fund Retail **									
45. Berkshire Hathaway Inc DEL CL B		None	L	T	Sold (part)	02/03/14	K	E	
46.					Buy (add'l)	02/04/14	K		
47.					Buy (add'l)	03/05/14	K		
48.					Buy (add'l)	05/12/14	K		
49.					Sold (part)	07/14/14	L	E	
50.					Buy (add'l)	08/01/14	L		
51.					Sold (part)	10/15/14	L	E	

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52.					Buy (add'l)	10/28/14	L		
53.					Buy (add'l)	11/05/14	L		
54. Direxion		None	J	T	Buy	03/04/14	J		
55.					Sold (part)	03/04/14	J	D	
56.					Buy (add'l)	12/19/14	K		
57. Fidelity Cash Reserves	A	Dividend	L	T					
58. Fidelity Japan Smaller Co's		None			Sold	05/08/14	J	D	
59. Fidelity Real Estate Income	A	Dividend	J	T	Sold (part)	05/30/14	J	C	
60. Fidelity Select Energy	A	Dividend	J	T	Sold (part)	10/15/14	J	C	
61. First Eagle Global Class I	A	Dividend	J	T					
62. First Eagle Global Class C		None	K	T					
63. First Eagle U.S. Value		None	J	T	Sold (part)	08/28/14	J	C	
64. Hennessy Japan		None			Sold	05/27/14	J	D	
65. Invesco International Small Co. CL	A	Dividend	J	T					
66. Ishares MSCI Russia		None			Buy	03/06/14	J		
67.					Sold	03/27/14	J	D	
68. IVA Worldwide Fund	A	Dividend	J	T	Sold (part)	08/28/14	K	C	

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	
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69. Leucadia National Corp.	A	Dividend	J	T	Buy	05/22/14	J		
70.					Buy (add'l)	05/22/14	J		
71.					Buy (add'l)	05/22/14	K		
72.					Buy (add'l)	05/27/14	K		
73.					Buy (add'l)	10/28/14	K		
74. Mainstay Marketfield Fund		None	J	T	Sold (part)	04/15/14	J	D	
75. Matthews Asia	A	Dividend	K	T	Buy	05/07/14	K		
76. Matthews China Fund	A	Dividend	J	T	Buy (add'l)	05/07/14	K		
77.					Sold (part)	05/30/14	J	C	
78. Oakmark Equity & Income FD	A	Dividend	K	T					
79. Permanent Portfolio	A	Dividend			Sold	05/27/14	K	E	
80. Proshares Trust Ultrapro Short		None	J	T	Buy	01/06/14	J		
81.					Buy (add'l)	01/24/14	K		
82.					Sold (part)	04/01/14	J	D	
83.					Buy (add'l)	04/07/14	J		
84.					Sold (part)	05/02/14	J	D	
85.					Sold (part)	05/12/14	K	D	

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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	
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86.					Buy (add'l)	06/12/14	K		
87.					Sold (part)	07/31/14	K	E	
88.					Buy (add'l)	08/06/14	K		
89.					Sold (part)	11/11/14	K	D	
90.					Buy (add'l)	12/15/14	L		
91.					Sold (part)	12/19/14	K	D	
92. Robeco Boston Ptners		None	K	T	Sold (part)	08/28/14	K	D	
93. SPDR SER TR	A	Dividend	K	T	Buy	05/06/14	J		
94. Thornburg Investment Income Builder	A	Dividend	J	T	Sold (part)	10/15/14	K	E	
95. Vanguard Admiral	A	Dividend	J	T	Buy	07/31/14	K		
96.					Sold (part)	08/28/14	K	D	
97.					Sold (part)	10/15/14	K	C	
98. Vanguard High Dividend	A	Dividend	J	T	Buy	11/11/14	K		
99. Vanguard Inflation	A	Dividend	J	T					
100. Vanguard International ***	A	Dividend	K	T	Buy	07/31/14	J		
101.					Sold (part)	10/15/14	J	C	
102. Wasatch Core Growth	A	Dividend	K	T	Sold (part)	07/14/14	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 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	
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103. Wasatch Frontier Emerging Small Co's	A	Dividend	J	T	Buy (add'l)	05/28/14	K		
104.					Sold (part)	07/14/14	K	E	
105.					Sold (part)	10/15/14	K	C	
106.					Sold (part)	11/19/14	J	D	
107. Wasatch International Growth	A	Dividend	J	T	Sold (part)	05/22/14	J	D	
108.					Sold (part)	11/19/14	K	D	
109. Wasatch Long/Short Fund	A	Dividend	J	T	Sold (part)	05/30/14	J	C	
110.									

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

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Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/14/2015

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

* Lines 35-36 Iowa College Savings Plans, Aggressive Growth Portfolio, no control

** Line 44 - Baron Real Estate Fund Retail was completely sold in 2013

*** Line 100 Vanguard International - also known as Vanguard Index FDS

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/14/2015

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
Administrative Office of the United States Courts
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One Columbus Circle, N.E.
Washington, D.C. 20544