

FINANCIAL DISCLOSURE REPORT FINAL FILING

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 03/29/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge -- Senior Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☐ Annual ☒ Final	6. Reporting Period 01/01/2018 to 3/2/2019
	5b. ☒ Amended Report	
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.		
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.	Santa Clara Law School	1.15-1.18	Santa Clara, CA	Judge William A. Ingram Symposium	airfare, lodging, meals
2.	Center for Legal Inclusiveness	3.21-3.23	Denver, CO	Implicit Bias Training	airfare, lodging, meals
3.	Civil Jury Project	3.29-3.30	New York, NY	Jury Innovations Conference Workshop on Improving and Saving Jury Trials	airfare, lodging, meals
4.	Brett W. Olander & Associates	4.6	St. Paul, MN	Torts Litigation and Ethics IX Seminar	mileage, meals

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5.	Federal Public Defender	4.17-4.18	Las Vegas, NV	CLE for CJA Panel Attorneys	airfare, lodging, meals
6.	Oklahoma City Chapter of the Federal Bar	4.18-4.19	Oklahoma City, OK	Inaugural Program on Sentencing Issues	airfare, lodging, meals
7.	Washington University School of Law	4.19-4.20	St. Louis, MO	Race in the Federal Criminal Court-- Strategies in Pursuit of Justice	airfare, lodging, meals
8.	University of Missouri Law School	4.22-4.24	Columbia, MO	Visiting Judge	airfare, mileage, lodging, meals
9.	DePaul Law School	4.26	Chicago, IL	Presentation to students	airfare, lodging, meals
10.	Ninth Circuit Court of Appeals	5.1-5.3	Reno, NV	Conference of Chief Bankruptcy Judges, Bankruptcy Clerks, and Lawyer Reps	airfare, lodging, meals
11.	Committee on Race and Ethnic Fairness in District Court	6.13-6.14	Williamstown, MA	Annual Judges' Conference	airfare, lodging, meals
12.	NACDL	6.20-6.22	Santa Monica, CA	Eighth Annual West Coast White Collar Conference	airfare, lodging, meals
13.	Equal Justice Society	6.22-6.24	San Francisco, CA	Mind Science Conference	airfare, lodging, meals
14.	NARTC	7.30-7.31	Chicago, IL	NARTC Conference	airfare, lodging, meals
15.	Eighth Circuit Court of Appeals	8.16-8.17	Des Moines, IA	Eighth Circuit Judicial Conference	mileage, lodging, meals
16.	Tampa Bay Chapter of the Federal Bar Association	9.5-9.7	Orlando, FL	27th Annual National Federal Sentencing Seminar	airfare, lodging, meals
17.	Union Pacific	9.26	Omaha, NE	Law Department Meeting	mileage
18.	District Court of Maine	9.27-9.28	Portland, ME	District Seminar	airfare, lodging, meals
19.	Civil Jury Project	10.16-10.19	New York, NY	NYU Judicial Conference	airfare, lodging, meals
20.	FBA-MN	10.23	Minneapolis, MN	Diversity Committee CLE on Implicit Bias	mileage
21.	FBA- New Orleans	10.25-10.26	New Orleans, LA	CJA Panel Conference	airfare, lodging, meals
22.	Hawaii state court	10.31-11.6	Honolulu, HI	Implicit Bias Training for State Court Judges	airfare, lodging, meals
23.	NACDL	11.7-11.8	Washington, DC	14th Annual White Collar Seminar	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.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

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			Distributed	1/03/18	K	E	
4. Compass BK Birmingham	A	Interest			Redeemed	05/18/18	K		
5. Follow BMW BK North Amer Salt Lake CD		None	M	T	Buy	02/13/19	M		
6. Homestreet BK Washington CD	A	Interest			Buy	11/01/18	M		
7.					Redeemed	02/04/19	M		
8. Ishares Russell 100 Growth ETF	A	Dividend			Buy	1/02/18	J		
9.					Buy (add'l)	08/09/18	J		
10.					Sold	10/12/18	J	D	
11. Surebeam Corp.		None	J	T					
12. Vanguard S&P 500 Growth ETF (VOOG)	A	Dividend			Buy	08/09/18	J		
13.					Sold	10/09/18	J	C	
14.									
15. Rollover IRA (Fidelity)									
16. Bank of China New York City BR CD	A	Interest	J	T	Buy	07/09/18	J		
17.					Buy (add'l)	07/09/18	J		

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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18.					Redeemed (part)	09/17/18	J		
19.					Buy (add'l)	11/27/18	K		
20.					Redeemed (part)	02/28/19	J		
21. Bank East Asia LTD New York CD	A	Int./Div.			Buy	05/21/18	J		
22.					Redeemed	07/25/18	J		
23. Capital One Bank (USA) Nat CD	A	Interest			Buy	11/02/18	K		
24.					Redeemed	02/07/19	K		
25. Centier BK Whiting IND CD		None	K	T	Buy	02/13/19	K		
26. Chipolte		None			Sold	01/09/18	J	C	
27. Fidelity Cash Reserves	A	Dividend	J	T					
28. Fidelity Contra Fund		None			Sold (part)	07/31/18	J	C	
29.					Sold (part)	11/15/18	J	D	
30.					Sold	12/18/18	J	B	
31. First Eagle Global Class C		None			Sold	01/05/18	J	D	
32. First Trust NASDAQ ABA CBIF	A	Dividend	J	T	Buy	05/31/18	J		
33. Fall Riv Five Cents Svgs BK CD	A	Interest			Buy	07/27/18	K		
34.					Buy (add'l)	07/27/18	K		

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35.					Redeemed	10/31/18	K		
36. Ishares Russell 1000	A	Dividend	J	T	Buy (add'l)	01/02/18	J		
37.					Buy (add'l)	01/04/18	J		
38.					Buy (add'l)	01/09/18	J		
39.					Buy (add'l)	02/07/18	J		
40.					Sold (part)	04/12/18	J	D	
41.					Sold (part)	11/15/18	J	C	
42.					Sold (part)	12/18/18	J	C	
43. Kraneshares TR CSI China Internet	A	Dividend	J	T	Sold (part)	02/02/18	J	D	
44. Matthews China Fund		None			Sold	09/13/18	J	C	
45. Matthews Pacific Tiger Fund	A	Dividend	J	T					
46. Oppenheimer Int'l	A	Dividend	J	T	Buy (add'l)	01/09/18	J		
47.					Sold (part)	04/12/18	J	D	
48.					Sold (part)	11/15/18	J	C	
49.					Sold (part)	12/17/18	J	B	
50. Powershares SPHD - ETF *	A	Dividend			Sold (part)	01/02/18	J	C	
51.					Sold	08/09/18	J	C	

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52. Proshares Trust Decline Retail Store	A	Dividend			Sold (part)	01/10/18	J	C	
53.					Sold	03/26/18	J	C	
54. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T	Sold (part)	07/05/18	J	C	
55.					Sold (part)	07/05/18	J	B	
56. U S Silica Hldgs Inc	A	Dividend			Sold (part)	01/09/18	J	C	
57.					Buy (add'l)	02/22/18	J		
58.					Sold (part)	04/04/18	J	B	
59.					Sold	06/01/18	J	B	
60. Vaneck Vectors ETF TR Vietnam ETF (VNM)	A	Dividend			Sold (part)	04/12/18	J	C	
61.					Sold (part)	07/05/18	J	D	
62.					Sold	07/05/18	J	D	
63. Vanguard Admiral FDS Inc S&P Midcap (IVOG)	A	Dividend	J	T	Sold (part)	12/17/18	J	C	
64. Vanguard Admiral FDS Inc. S&P Small Cap (VIOO)	A	Dividend	J	T	Sold (part)	12/10/18	J	B	
65. Vanguard Health Care Investor	A	Dividend	J	T					
66. Vanguard S&P 500 Growth ETF (VOOG)	A	Dividend	J	T	Buy (add'l)	1/08/18	J		
67.					Buy (add'l)	01/09/18	J		
68.					Buy (add'l)	08/09/18	J		

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69.					Sold (part)	11/15/18	J	D	
70. Wasatch Core Growth		None	J	T	Sold (part)	11/15/18	J	A	
71.					Sold (part)	12/10/18	J	B	
72. Weibo Corp.		None	J	T	Sold (part)	01/09/18	J	C	
73.					Sold (part)	02/02/18	J	B	
74.									
75. Roth IRA (Fidelity)									
76. Apple, Inc.	A	Dividend			Sold (part)	01/11/18	J	B	
77.					Sold	11/29/18	J	B	
78. ARK ETF TR Israel Inovate		None			Buy	01/04/18	J		
79.					Sold	06/15/18	J	B	
80. Bank of China New York BR CD		None	K	T	Buy	01/03/19	K		
81.					Buy (add'l)	01/03/19	K		
82. Fidelity Select Semiconductors Port		None	J	T	Buy	02/26/19	J		
83.					Buy (add'l)	02/26/19	J		
84. Ishares Russell 1000 Growth ETF	A	Dividend			Buy	08/09/18	J		
85.					Buy (add'l)	09/20/18	J		

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86.					Sold (part)	11/29/18	J	C	
87.					Sold (part)	12/10/18	J	C	
88.					Sold (part)	02/26/19	J	C	
89.					Sold	02/26/19	J	C	
90. Ishares S&P 500	A	Dividend	J	T	Sold (part)	03/26/18	J	B	
91.					Buy (add'l)	05/25/18	J		
92.					Sold (part)	07/05/18	J	D	
93.					Sold (part)	11/29/18	J	C	
94. Powershares FD TR II (SPHD)		None			Sold	01/04/18	J	D	
95. SPAXX	A	Dividend	J	T					
96. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T	Sold (part)	04/12/18	J	B	
97. U S Silica Hldgs Inc. Com	A	Dividend			Sold	01/11/18	J	B	
98. Vanguard Admiral FDS, Inc.	A	Dividend	J	T	Sold (part)	01/11/18	J	B	
99.					Sold (part)	04/12/18	J	B	
100.					Sold (part)	11/15/18	J	B	
101. Vanguard Int'l Growth Port Inv CL	A	Dividend	J	T	Buy	01/02/18	J		
102.					Buy (add'l)	01/04/18	J		

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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)
103.					Sold (part)	11/15/18	J	C	
104. Vanguard Health Care Investor	A	Dividend	J	T	Sold (part)	11/15/18	J	B	
105. Vanguard S&P 500 Growth ETF (VOOG)	A	Dividend	J	T	Buy	01/11/18	J		
106.					Sold (part)	04/12/18	J	C	
107.					Buy (add'l)	08/09/18	J		
108.					Sold (part)	11/15/18	J	C	
109. Wasatch Core Growth		None	J	T	Buy (add'l)	09/18/18	J		
110.					Sold (part)	11/15/18	J	D	
111.									
112. Miscellaneous Holdings									
113. Iowa College Savings Account **		None	J	T					
114. Iowa College Savings Account		None	J	T					
115.									
116. CKG ACCT; Fidelity, Boston MA	A	Interest	M	T					
117. Wells Fargo Checking Account	A	Interest	J	T					
118. Iowa/Nebraska State Bank Checking Account	A	Interest	J	T					
119. REINSURANCE AGREEMENT; 1st Colony Life Ins. Co.		None	N	W					

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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Name of Person Reporting

BENNETT, MARK W.

Date of Report

03/29/2019

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)
120.									
121. IRA Fidelity									
122. Ally BK Midvale Utah CD	A	Interest	K	T					
123. American Century Mid Cap	A	Dividend	J	T	Sold (part)	12/10/18	J	D	
124. ARK ETF TR Israel Inovate		None			Buy	01/08/18	J		
125.					Sold	12/10/18	J	A	
126. Bank of China New York City BR CD 06426WNI7	A	Interest	L	T	Buy (add'l)	04/09/18	K		
127.					Redeemed (part)	06/18/18	K		
128.					Buy (add'l)	04/16/18	L		
129.					Redeemed (part)	07/16/18	K		
130.					Redeemed (part)	07/20/18	K		
131.					Buy (add'l)	09/25/18	L		
132.					Buy (add'l)	11/13/18	L		
133.					Buy (add'l)	11/27/18	L		
134.					Redeemed (part)	12/27/18	L		
135.					Buy (add'l)	01/03/19	L		
136.					Redeemed (part)	02/15/19	L		

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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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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Name of Person Reporting

BENNETT, MARK W.

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03/29/2019

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

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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)
137.					Redeemed (part)	02/28/19	L		
138. Berkshire Hathaway Inc DEL CL B		None	L	T	Sold (part)	04/12/18	J	D	
139.					Sold (part)	12/10/18	L	E	
140. BMW BK North Amer Salt Lake CD	A	Interest	K	T					
141. Citizens BK NA Providence RI CD		None			Buy	06/15/18	K		
142.					Redeemed	09/20/18	K		
143. Comenity Cap BK Utah CD	A	Interest	K	T					
144. Compass BK Birmingham ALA CD	A	Interest			Redeemed	05/18/18	K		
145. Direxion SHS ETF TR DLY S&P 500 BR 3X	A	Dividend			Buy	02/06/18	J		
146.					Sold (part)	02/07/18	J	C	
147.					Sold (part)	02/15/18	J	C	
148.					Buy (add'l)	02/20/18	J		
149.					Sold (part)	03/01/18	J	D	
150.					Buy (add'l)	03/05/18	K		
151.					Sold (part)	03/20/18	K	E	
152.					Buy (add'l)	10/11/18	K		
153.					Sold	10/12/18	K	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
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154. East Asia LTD New York NY CD	A	Interest	L	T	Buy	05/21/18	K		
155.					Redeemed (part)	07/25/18	K		
156.					Buy (add'l)	02/21/19	L		
157. Fidelity Cash Reserves	A	Dividend	M	T					
158. Fidelity Contrafund		None	K	T	Sold (part)	04/12/18	K	D	
159.					Sold (part)	07/31/18	K	C	
160.					Sold (part)	10/30/18	K	D	
161. Fidelity Select Energy		None	J	T	Sold (part)	03/27/18	J	B	
162. Fidelity Select Health Care	A	Dividend	J	T	Sold (part)	12/10/18	J	D	
163. Fidelity 500 Index	A	Dividend	J	T	Buy (add'l)	02/07/18	J		
164.					Sold (part)	03/19/18	J	D	
165.					Buy (add'l)	08/07/18	K		
166.					Sold (part)	11/15/18	J	D	
167. First Eagle Global Class 1		None			Sold	01/04/18	J	D	
168. First National NATL BK PA Greenville Co	A	Interest			Buy	07/26/18	K		
169.					Redeemed	10/29/18	K		
170. Homestreet BK Washington CD	A	Interest	K	T	Buy	01/29/19	K		

1. Income Gain Codes:

A = \$1,000 or less

B = \$1,001 - \$2,500

C = \$2,501 - \$5,000

D = \$5,001 - \$15,000

E = \$15,001 - \$50,000

