

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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) Jackson, Jr., Stephen B.	2. Court or Organization United States District Court, Southern District of Iowa	3. Date of Report 06/14/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Magistrate Judge (full-time)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Courthouse 131 E. 4th Street Davenport, IA 52801		
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.	Secretary/Treasurer	Iowa Judges Association
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.	2010	State of Iowa Judicial Retirement System, defined benefit pension, no control
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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. 2015	State of Iowa, District Court Judge - Salary	\$16,275.78
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. 2015	Self-employed professional organizer
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 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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.	U.S. Bank	(Part VII, Line 1)	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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. [REDACTED]/rental property, [REDACTED]	E	Rent	M	R					
2. U.S. Bank Accounts	A	Interest	K	T					
3. IRA #1 (H) (on previous report this was IRA #3)									
4. - Power Shares DB Commodity Index Tracking Fund	A	Dividend			Sold	12/28/15	J		
5. AQR Managed Futures Strategy	A	Dividend	J	T	Buy	12/28/15	J		
6. - DFA Investment Grade	A	Dividend	J	T					
7. - DFA International Vector Equity	A	Dividend	J	T					
8. - DFA International Value	A	Dividend	J	T					
9. - DFA Emerging Markets Core Equity	A	Dividend	K	T					
10. - DFA Emerging Markets Value	A	Dividend			Sold	9/2/15	J		
11. - DFA Emerging Markets Small Cap	A	Dividend	J	T	Buy	9/2/15	J		
12. - DFA Global Fixed Income	A	Dividend	J	T					
13. - DFA International Core Equity	A	Dividend	K	T					
14. - DFA Short Term Extended Quality	A	Dividend	J	T					
15. - DFA US Large Cap Growth	A	Dividend	K	T					
16. - DFA US Vector Equity	A	Dividend			Sold	9/2/15	K		
17. - DFA US Core Equity	B	Dividend	K	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	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	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000 (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 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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. - DFA One-Year Fixed Income	A	Dividend	J	T					
19. - DFA US Targeted Value	B	Dividend	K	T	Buy	9/2/15	K		
20.					Buy (add'l)	12/17/15	J		
21. - DFA Two-Year Global Fixed Income	A	Dividend	J	T					
22. - Diamond Hill Long Short	A	Dividend	J	T					
23. - Permanent Portfolio	A	Dividend	J	T					
24. - Vanguard Reit Index	A	Dividend	J	T					
25. IRA #2 (H) (on previous report this was IRA #5)									
26. - Power Shares DB Commodity Index Tracking Fund	A	Dividend			Sold	12/28/15	J		
27. - AQR Managed Future Strategy	A	Dividend	J	T	Buy	12/28/15	J		
28. - DFA Investment Grade	A	Dividend	J	T					
29. - DFA International Vector Equity	A	Dividend	J	T					
30. - DFA International Value	A	Dividend	J	T					
31. - DFA Emerging Markets Core Equity	A	Dividend	J	T					
32. - DFA Emerging Markets Value	A	Dividend			Sold	9/2/15	J		
33. - DFA Emerging Markets Small Cap	A	Dividend	J	T	Buy	9/2/15	J		
34. - DFA Global Fixed Income	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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. - DFA International Core Equity	A	Dividend	J	T					
36. - DFA Short Term Extended Quality	A	Dividend	J	T					
37. - DFA US Large Cap Growth	A	Dividend	J	T					
38. - DFA US Vector Equity	A	Dividend			Sold	9/2/15	K		
39. - DFA US Core Equity	A	Dividend	K	T					
40. - DFA US Targeted Value	A	Dividend	K	T	Buy	9/2/2015	K		
41. - DFA One-Year Fixed Income	A	Dividend	J	T					
42. - DFA Two-Year Global Fixed Income	A	Dividend	J	T					
43. - Diamond Hill Long Short	A	Dividend	J	T					
44. - Permanent Portfolio	A	Dividend	J	T					
45. - Vanguard Reit Index	A	Dividend	J	T					
46. IRA #3 (H) (on previous report this was IRA #7)									
47. - Discover Bank Cash Acct	A	Interest			Sold	12/21/15	J		
48. - Goldman Sachs Bank USA Cash Acct	A	Interest	J	T	Buy	12/21/15	J		
49. - Russell Lifepoints Fund Growth Strategy	A	Dividend	J	T					
50. TIAA CREF 457(b)(H)									
51. - TIAA CREF Lifecycle 2030	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 \$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 7 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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. TIAA CREF 401(a)(H)									
53. - TIAA CREF S&P 500 Index	A	Dividend	J	T					
54. 529 Plan #1 (H)									
55. - BlackRock Mod 13-16 Age Based Option	A	Dividend	J	T					
56. - BlackRock Aggressive Growth	A	Dividend	J	T					
57. 529 Plan #2 (H)									
58. - Amcap Fund	B	Dividend	J	T					
59. - American Balanced Fund	A	Dividend	J	T					
60. - American High Income Trust	A	Dividend	J	T					
61. - Capital Income Builder	A	Dividend	J	T					
62. - Capital World Growth and Income	A	Dividend	J	T					
63. - Fundamental Investor	A	Dividend	J	T					
64. - Growth Fund of America	A	Dividend	J	T					
65. 529 Plan #3 (H)									
66. - Ohio Tuition Trust Fifth Third Cash Account	A	Interest	M	T	Buy	12/11/15	K		
67. Trust #1 (H) (Beneficiary)									
68. - American Funds Money Market A		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	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 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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)
69. - American Funds Bond Fund of America A	A	Dividend	J	T					
70. - American Funds Capital World Bond Fund A	A	Dividend	J	T					
71. Trust #2 (H) (Beneficiary)									
72. - Lincoln Universal Life Insurance	B	Interest	K	T					See note in Part VIII
73. Trust #3 (H) (Beneficiary)									
74. - Transamerica Universal Life Insurance	C	Interest	L	T					See note in Part VIII

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 9 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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

Section VII. Investments and Trusts. DFA is abbreviation for Dimensional Fund Advisors.

Section VII. Investments and Trusts. Trust #2 and Trust #3 were each initiated in 2015, and hold the assets previously listed on Lines 90 and 91, respectively in the prior year's report.

FINANCIAL DISCLOSURE REPORT

Page 10 of 10

Name of Person Reporting

Jackson, Jr., Stephen B.

Date of Report

06/14/2016

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/ Stephen B. Jackson, 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