

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) Walters, Ross A.	2. Court or Organization USDC, SDIA	3. Date of Report 4/12/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge- Full-Time (Recalled)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 123 E. Walnut, Room 425 Des Moines, IA 50309		
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.	Trustee	Trust #1
2.	Trustee	Trust #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 8

Name of Person Reporting

Walters, Ross A.

Date of Report

4/12/2017

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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

4/12/2017

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.	Bank of America	Mortgage on personal residence of family member	M
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

4/12/2017

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. Principal Ins. Cos. - IRA -- LifeTime 2020 Fund -- Annuity	E	Int./Div.	N	T					
2. Principal Ins. Cos. - Common Stock	A	Dividend	J	T					
3. Pfizer Common Stock	A	Dividend	J	T					
4. Wells Fargo Bank - Cash Accounts	A	Interest	K	T					
5. Wells Fargo Bank - IRA	A	Interest	J	T					
6. Principal Ins. Cos. - IRA -- SAM Balanced Portfolio Fund	A	Dividend	K	T					
7. Trust #1									
8. --Energy Trf. Partners, L.P.	A	Distribution			Sold	06/02/16	J	A	
9. --Harbor Int'l Fund Inst.	A	Dividend	K	T	Buy (add'l)	06/02/16	J		
10. --Pimco Total Return Fd. Inst.	B	Dividend	K	T	Sold (part)	06/02/16	J	A	
11. --Principal Preferred Sec. Fd.	C	Dividend	K	T	Sold (part)	06/02/16	J	A	
12. --Vanguard Inflation Protected Fd.	A	Dividend	K	T	Sold (part)	06/02/16	J	A	
13. --Vanguard Index Trust Small Cap	A	Dividend	K	T	Buy (add'l)	06/02/16	J		
14. --Templeton Global Bond Fd.	A	Dividend	K	T	Buy (add'l)	06/02/16	J		
15. --Third Ave. Real Estate Value Fd.	A	Dividend	K	T	Sold (part)	06/02/16	J	A	
16. --Tortoise Energy Infra. Corp.	B	Dividend	K	T	Buy (add'l)	06/02/16	J		
17. --Vanguard Index Fds. Lg. -Cap ETF	A	Dividend	L	T	Sold (part)	06/02/16	J	B	

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	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	Q = Appraisal (See Column C2)	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 8

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Walters, Ross A.

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4/12/2017

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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 I (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. --SPDR Ser Tr S&P Div. ETF	A	Dividend	K	T	Sold (part)	06/02/16	J	B	
19. --IvyHigh Inc. Fund Class I	B	Dividend	K	T	Sold (part)	06/02/16	J	A	
20. --Principal Midcap Blend Inst.	A	Dividend	K	T	Sold (part)	06/02/16	J	A	
21. --Principal High Yield Class I	D	Dividend	L	T	Sold (part)	05/18/16	J	A	
22.					Sold (part)	05/27/16	J	A	
23.					Sold (part)	06/02/16	J	A	
24. --Principal Global Diversified Inc. Fd.	C	Dividend	K	T	Sold (part)	06/03/16	J	A	
25. --Cash (Principal Money Market)	A	Interest	J	T					
26. Trust #2									
27. --Principal Gov. & High Quality Bond Fd.	C	Dividend	L	T					
28. --Principal Short Term Inc. Fd.	A	Dividend	K	T					
29. --Principal Income Fund	C	Dividend	L	T					
30. --Principal High Yld II Fd.	D	Dividend	M	T					
31. --Principal Global Div. Inc. Fund	C	Dividend	L	T					
32. --Principal SAM Flex Income Fund	D	Dividend	M	T	Buy (add'l)	10/27/16	J		
33. --Principal Preferred Sec. Fd.	C	Dividend	L	T					
34. --Insurance Contract (Principal)		None	O	W					

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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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FINANCIAL DISCLOSURE REPORT

Page 6 of 8

Name of Person Reporting

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Date of Report

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35. --Principal Tax Exempt Fd.	B	Dividend	K	T					
36. --Principal Opport. Mun. Fd.	B	Dividend	K	T					
37. --Cash (Principal Money Market)	A		K	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
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FINANCIAL DISCLOSURE REPORT

Page 7 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

4/12/2017

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

Parts I and VII. Trust #1 is a testamentary trust. Trust #2 is an inter vivos trust. My interest in the trusts is contingent. I have no present right or ability to receive any income or principal.

Part VIIA(4) - The same asset with same income and gross value amounts should have been listed in my 2015 report and was inadvertently omitted.

Part VIIA(6) - The Oppenheimer Capital Appreciation Fund, VIIA(4) on my 2015 report, was rolled into the Principal IRA (item VII(6) in this report) in June 2015. I inadvertently omitted the rollover from my 2015 report.

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Walters, Ross A.

Date of Report

4/12/2017

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/ Ross A. Walters**

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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