

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) BENNETT, MARK W.	2. Court or Organization USDC/Northern District of Iowa	3. Date of Report 10/17/2017
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 01/01/2016 to 12/31/2016
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. _____	_____

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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. 2016	Aspen Publishing	\$3,000.00
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. Aspen	\$806.00
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.	NACDL	1.10-1.12	Aspen, CO	NACDL Conference	airfare, lodging, meals
2.	ABA	3.1-3.3	San Diego, CA	30th Annual National Institute on White Collar Crime	airfare, lodging, meals
3.	ABA	4.6-4.7	Chicago, IL	Implicit Bias Meeting	airfare, lodging, meals
4.	ABOTA	4.7-4.8	Minneapolis, MN	ABOTA Seminar	airfare, lodging, meals
5.	ISBA	5.4-5.6	Davenport, IA	ISBA 2016 Biennial Bench Bar Conference	airfare, lodging, meals

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6.	Kentucky Bar Association	5.10-5.12	Louisville, KY	2016 Kentucky Bar Association Annual Convention	airfare, lodging, meals
7.	PCLELC	5.18-5.21	Seattle, WA	Pacific Coast Labor & Employment Law Conference	airfare, lodging, meals
8.	Minnesota Continuing Legal Education	5.22-5.24	St. Paul, MN	Upper Midwest Employment Law Institute	mileage, lodging, meals
9.	National Assoc. of Criminal Defense Attorneys	6.2-6.3	Orlando, FL	25th Annual National Seminar on the Fed Sent. Guidelines	airfare, lodging, meals
10.	ACS	6.10-6.11	Washington, DC	ACS 2016 National Convention	airfare, lodging, meals
11.	State Bar of Nevada	6.27-7.2	Waikoloa, HI	State Bar of Nevada's 86th Annual Meeting	airfare, lodging, meals
12.	University of Minnesota Law School	9.21-9.23	Minneapolis, MN	Paper presentation	mileage, lodging, meals
13.	NARTC	9.26-9.28	Jackson Hole, WY	NARTC 2016 Fall Meeting	airfare, lodging, meals
14.	ABOTA- IA Chapter	10.6.	Des Moines, IA	ABOTA - IA Chapter Program	mileage, meals
15.	Boise State University	10.14-10.16	Boise, ID	Minidoka Civil Liberties Symposium	airfare, lodging, meals
16.	Chaloupka, Holyoke, Snyder, Chaloupka, & Longoria, PC	11.2-11.3	Scottsbluff, NE	Bob Chaloupka Trial Skills Seminar	mileage, meals
17.	New York Continuing Legal Education	11.15-11.16	White Plains, NY	New York CLE Accredited Provider Conference	airfare, lodging, meals
18.	Boston AAG's Office/Public Defenders	11.16-11.17	Boston, MA	Implicit Bias Training	ground transportation, 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					
4. First Eagle Global Class C	A	Dividend	J	T					
5. Hennessey Focus Fund		None	J	T					
6. Leucadia National Corp.*		None							
7. Surebeam Corp.		None	J	T					
8. Vanguard Index FDS formerly Vanguard Growth ETF (VUG)	A	Dividend	J	T					
9.									
10. Rollover IRA (Fidelity)									
11. Apple, Inc.	A	Dividend	J	T	Sold (part)	07/27/16	J	C	
12.					Sold (part)	09/13/16	J	C	
13.					Sold (part)	12/30/16	J	C	
14. Chipotle		None			Buy	02/29/16	J		
15.					Buy (add'l)	03/11/16	J		
16.					Buy (add'l)	03/18/16	J		
17.					Buy (add'l)	09/21/16	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.					Buy (add'l)	10/26/16	J		
19.					Sold (part)	12/19/16	J	C	
20.					Sold (part)	12/20/16	J	C	
21.					Sold (part)	12/21/16	J	B	
22.					Sold (part)	12/21/16	J	A	
23.					Sold	12/27/16	J	C	
24. Fidelity Cash Reserves	A	Dividend	J	T					
25. First Eagle Global Class C		None	J	T					
26. Ishares Global Healthcare	A	Dividend			Sold	08/16/16	J	D	
27. Ishares S&P 500 Growth	A	Dividend			Sold	06/21/16	J	D	
28. Ishares Tr US Regnl	A	Dividend	J	T	Sold (part)	03/18/16	J	A	
29.					Buy (add'l)	07/12/16	J		
30.					Sold (part)	09/01/16	J	D	
31. Leucadia Nat'l Corp.	A	Dividend			Sold	03/11/16	J	B	
32. Matthews China Fund		None	J	T					
33. Matthews Pacific Tiger Fund	A	Dividend	J	T	Buy (add'l)	07/21/16	J		
34.					Buy (add'l)	08/16/16	J		

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35. Oakmark International Small Cap		None			Sold	06/20/16	J	B	
36. Oppenheimer Int'l	A	Dividend	J	T	Sold (part)	03/28/16	J	C	
37. Powershares SPHD - ETF	A	Dividend	K	T	Buy	06/13/16	J		
38.					Buy (add'l)	06/21/16	J		
39.					Buy (add'l)	06/24/16	J		
40.					Buy (add'l)	12/19/16	J		
41. Schwab Strategic TR US	A	Dividend	J	T	Buy	07/28/16	J		
42.					Sold (part)	10/05/16	J	C	
43. SPDR S& P Dividend ETF (SDY)	A	Dividend	J	T	Sold (part)	03/28/16	J	B	
44.					Buy (add'l)	03/31/16	J		
45.					Buy (add'l)	08/04/16	J		
46.					Buy (add'l)	12/08/16	J		
47. Vaneck Vectors ETF TR Vietnam ETF (VNM)	A	Dividend	J	T	Buy	10/10/16	J		
48.					Buy (add'l)	12/21/16	J		
49. Vanguard Admiral FDS Inc S&P Midcap		None	J	T	Sold (part)	02/26/16	J	C	
50.					Buy (add'l)	12/27/16	J		
51.					Buy (add'l)	12/27/16	J		

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52. Vanguard Health Care Investor	A	Dividend	J	T	Sold (part)	08/26/16	J	C	
53. Vanguard Int'l Growth **		None			Sold	03/28/16	J	B	
54. Vanguard Selected Value Investor		None			Sold	07/20/16	J	C	
55. Wasatch Core Growth		None	J	T	Sold (part)	06/15/16	J	C	
56.					Sold (part)	12/30/16	J	C	
57.									
58. Roth IRA (Fidelity)									
59. Apple, Inc.	A	Dividend	J	T	Sold (part)	07/27/16	J	D	
60.					Sold (part)	08/18/16	J	C	
61.					Sold (part)	12/19/16	J	C	
62. Ishares S&P 500	A	Dividend	J	T	Buy	08/18/16	J		
63. Powershares FD TR II (SPHD)	A	Dividend	J	T	Buy	07/27/16	J		
64.					Buy (add'l)	12/19/16	J		
65. SPAXX	A	Dividend	J	T					
66. SPDR S&P Dividend ETF (SDY)	A	Dividend	J	T	Buy	07/27/16	J		
67. Vanguard Admiral FDS, Inc.	A	Dividend	J	T					
68. Vanguard Health Care Investor	A	Dividend	J	T					

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69. Wasatch Core Growth		None	J	T	Sold (part)	12/30/16	J	B	
70.									
71. Miscellaneous Holdings									
72. Iowa College Savings Account ***		None	J	T					
73. Iowa College Savings Account ***		None	J	T					
74.									
75. CKG ACCT; Fidelity, Boston MA	A	Interest	L	T					
76. Wells Fargo Checking Account	A	Interest	J	T					
77. Iowa/Nebraska State Bank Checking Account	A	Interest	K	T					
78. REINSURANCE AGREEMENT; 1st Colony Life Ins. Co.		None	N	W					
79.									
80. IRA Fidelity									
81. American Century Mid Cap	A	Dividend	J	T					
82. Berkshire Hathaway Inc DEL. CL B		None	K	T	Sold (part)	06/13/16	J	D	
83. Fidelity Cash Reserves	A	Dividend	M	T					
84. Fidelity Select Energy	A	Dividend	J	T					
85. Fidelity Select Pharmaceutical	A	Dividend	J	T					

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86. Fidelity 500 Index ****	A	Dividend	K	T					
87. First Eagle Global Class 1		None	K	T					
88. First Eagle Global Class C	A	Dividend	K	T					
89. Ishares S&P 500 Growth	A	Dividend	J	T	Sold (part)	06/01/16	J	D	
90.					Sold (part)	06/21/16	J	D	
91. Ishares TR US Oil	A	Dividend	J	T					
92. Ishares TR US Regnal	A	Dividend	K	T	Sold (part)	06/01/16	J	D	
93.					Sold (part)	08/18/16	J	C	
94.					Sold (part)	08/25/16	J	C	
95.					Buy (add'l)	11/30/16	J		
96. IVA Worldwide Fund		None	J	T					
97. Matthews Asia Small Companies (MSMLX)	A	Dividend	K	T	Sold (part)	08/03/16	J	D	
98. Matthews China Fund	A	Dividend	J	T					
99. Matthews Pacific Tiger Fund	A	Dividend	J	T	Buy	08/09/16	J		
100. Oakmark Equity & Income FD		None			Sold	08/18/16	J	D	
101. Oppenheimer Int'l Sml Mid Co.	A	Dividend	J	T					
102. Powershares FD TR II (SPHD)	A	Dividend	K	T	Buy	06/13/16	J		

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103.					Buy (add'l)	06/21/16	J		
104.					Buy (add'l)	06/27/16	J		
105.					Sold (part)	07/05/16	J	D	
106.					Buy (add'l)	12/07/16	J		
107. Proshares Trust Ultrapro Short		None	J	T	Buy (add'l)	01/19/16	J		
108. Robeco Boston Ptners		None	K	T					
109. Schwab Stratetic TR	A	Dividend	J	T	Buy	07/28/16	K		
110.					Sold (part)	10/05/16	K	D	
111. SPDR S&P Dividend ETF (SDY)	A	Dividend	K	T	Sold (part)	08/25/16	K	E	
112.					Buy (add'l)	12/07/16	J		
113. Spartan 500 Index *****									
114. Thornburg Investment Income Builder	A	Dividend	J	T					
115. Vaneck Vectors ETF TR Africa Index	A	Dividend	J	T					
116. Vanguard Admiral FDS Inc S&P Small Cap 6 (VIOO)	A	Dividend	J	T	Buy (add'l)	12/30/16	K		
117. Vanguard Dividend Growth Investor	A	Dividend	K	T					
118. Vanguard High Dividend	A	Dividend	K	T					
119. Vanguard Inflation	A	Dividend	J	T					

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 P1 = \$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	

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BENNETT, MARK W.

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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)
120. Vanguard International Growth	A	Dividend	K	T					
121. Vanguard S&P 500	A	Dividend	J	T					
122. Vanguard Specialized Portfolios	A	Dividend	K	T					
123. Vanguard Whitehall	A	Dividend	J	T					
124. Wasatch Core Growth		None	J	T	Sold (part)	12/30/16	J	D	
125. Wasatch Frontier Emerging Small Co's		None	J	T					
126. Wasatch International Growth		None	J	T	Sold (part)	06/01/16	J	C	
127.									

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

* Line 6 -- Leucadia National Corp was completely sold on 7.10.15 -- it was incorrectly reported as being on partially sold on the 2015 report

**Line 53-- Vanguard Int'l Growth was incorrectly stated as completely sold in 2015. It was only partially sold.

*** Both Iowa College Savings Plans are Aggressive Growth, no control

**** Line 87 - Fidelity 500 Index was mistakenly referred to as Spartan 500 Index on the 2015 report

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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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Washington, D.C. 20544