

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Benton, William D.	2. Court or Organization U.S. Court of Appeals, 8th Cir	3. Date of Report 4/22/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. Courthouse 400 E. 9th St. Kansas City MO 64106		
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.	Director	Freedom's Frontier National Heritage Area
2.	Trustee	Trust #1
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

Benton, William D.

Date of Report

4/22/2014

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. 2013	State of Missouri - judicial retirement	\$68,775.36
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. American Legion	Sep. 27-29, 2013	Indianapolis IN	meeting of civic organization	transportation, meals and hotel
2. Rotary International	Apr. 18-27, 2013	Chicago IL	meeting of civic organization	transportation, meals and hotel
3. Pepperdine Law School	Mar. 13-16, 2013	Malibu CA	teach at Federal Clerkship Institute	transportation, meals and hotel
4. Vanderbilt University	Feb. 1-3, 2013	Nashville TN	judge moot court	transportation, meals and hotel
5.				

Name of Person Reporting	Date of Report
Benton, William D.	4/22/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 8

Name of Person Reporting

Benton, William D.

Date of Report

4/22/2014

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. Equifax Inc. common stock	A	Dividend	L	T	Sold (part)	01/28/13	K	D	
2. GE common stock	A	Dividend	J	T					
3. Federated Clover Value Fund A	A	Dividend	J	T					
4. Oppenheimer Main Street Fund A	A	Dividend	J	T					
5. Wells Fargo Emerging Growth Fund A (formerly "Small Cap")	B	Distribution	K	T					
6. US Bancorp common stock	A	Dividend	J	T					
7. MOST 529 plan fund #1-Vanguard Aggressive Growth Portfolio		None	J	T					
8. MOST 529 plan fund #2-Vanguard Interest Accumulat'n Portfoli	A	Interest	J	T					
9. AIG American General universal life policy	B	Interest	K	T					
10. IRA # 1	B	Int./Div.	L	T					
11. - Hewlett Packard common stock									
12. - Wells Fargo (formerly Wachovia) Bank deposit program									
13. - Blackrock Energy & Resources Portfolio C									
14. - American Capital Income Builder Fund C									
15. - Lord Abbett Bd-Deb C									
16. IRA # 2	B	Int./Div.	L	T					
17. - WalMart common stock									

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 5 of 8

Name of Person Reporting

Benton, William D.

Date of Report

4/22/2014

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. - Hewlett Packard common stock									
19. - Federated Clover Value Fund A									
20. - American International Group Inc. common stock									
21. - Peabody Energy Corp. common stock									
22. - Titanium Metals Corp. New common stock					Sold	01/08/13	J	A	
23. - Wells Fargo Co. (formerly Wachovia Corp New) common stock									
24. - Blackrock Energy & Resources Portfolio C									
25. - Wells Fargo (formerly Wachovia) Bank deposit program									
26. - Federated Strategic Value Fund C									
27. - Federated Investors Bond Fund C									
28. Pfizer Inc. common stock	A	Dividend	J	T					
29. Sirius XM Holdings Inc. (formerly Sirius Satellite Radio) common stock	A	Dividend	J	T					
30. Blackrock Global Allocation Funds A (formerly B)	B	Dividend	L	T					
31. Peabody Energy Corp.	A	Dividend			Sold	10/15/13	J		
32. Titanium Metals Corp. New	A	Dividend			Sold	01/08/13	K	A	
33. CBRE Clarion Global Real Estate Income Fund (formerly "ING")	A	Dividend			Sold	05/06/13	K	D	
34. Chimera Investment Corp.	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 8

Name of Person Reporting

Benton, William D.

Date of Report

4/22/2014

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. Federated High Income Bond Fund class C	B	Dividend	K	T					
36. Lord Abnett High Yield Fund class C	B	Distribution	K	T					
37. Nuveen High Yield Municipal Bond Fund class C	A	Int./Div.	K	T					
38. Oppenheimer Global Strategic Income Fund C	A	Dividend	K	T	Buy	05/06/13	K		
39. American International Group Inc. common stock	A	Dividend	L	T	Buy	01/28/13	K		
40. Clearbridge Energy MLP Total Return Fund Inc.	A	Dividend	J	T	Buy	10/15/13	J		
41. Trust #1 (X)	D	Int./Div.	P1	T					
42. - Edward Jones money-market fund									
43. - American Balanced Fund CI A									
44. - Capital Income Builder Fund A									
45. - Franklin Balanced Fund CI A									
46. - Income Fund of America Fund A									

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 8

Name of Person Reporting

Benton, William D.

Date of Report

4/22/2014

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

The Vanguard Aggressive Growth Portfolio, listed on line 7 of Part VII, invests in two stock funds: (1) Vanguard Institutional Total Stock Market Index Fund (70%), and Vanguard Total International Stock Index Fund (30%). This allocation is made by the MOST plan, not by me.

The Vanguard Interest Accumulation Portfolio, listed on line 8 of Part VII, directs all its assets into Vanguard Short Term Reserves Account, which, in turn, invests in (1) Vanguard Prime Money Market Fund, and (2) funding agreements issued by one or more insurance companies, banks, and other issuers. This allocation is made by the MOST plan, not by me, and I do not know any specifics of item (2).

FINANCIAL DISCLOSURE REPORT

Page 8 of 8

Name of Person Reporting

Benton, William D.

Date of Report

4/22/2014

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/ William D. Benton**

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